United Nations Environment Programme

Terminal Evaluation of project GF/4030-02-03 "Development of National Implementation Plans for the Management of Persistent Organic Pollutants"

Evaluation Office

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Acronyms and abbreviations

BAT	Best Available Techniques
BEP	Best Environmental Practices
BSP	Bali Strategic Plan
COP	Conference of the Parties
FAO	Food and Agriculture Organization
FR	Final Report
GEF	Global Environment Facility
GMP	Global Monitoring Program
IGO	Intergovernmental Organization
M&E	Monitoring & Evaluation
NGO	Nongovernmental Organization
NIP	National Implementation Plan
PCDD/PCDFs	Polychlorodibenzo-p-dioxins and furans
PIR	Project Implementation Review
POPs	Persistent Organic Pollutants
QR	Quarterly Report
ROtI	Review of outcomes to impacts
SC	Stockholm Convention
SG	Steering Group
SMART	Self Monitoring Analysis and Reporting Technology
SWOT	Strengths, weaknesses, opportunities and threats
ToR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute For Training and Research
USD	US Dollars
WB	World Bank
WHO	World Health Organization

Executive summary

1. The present report represents the Terminal Evaluation of the UNEP/GEF Project "Development of National Implementation Plans for the Management of Persistent Organic Pollutants".

Overview of the evaluated project

2. The objective of the project was to strengthen national capacity to manage persistent organic pollutants (POPs) and to assist countries in meeting their obligations under the Stockholm Convention. The project provided assistance to twelve pilot countries (Barbados, Bulgaria, Chile, Ecuador, Guinea, Lebanon, Malaysia, Mali, Micronesia, Papua New Guinea, Slovenia and Zambia) in:

    i) developing their National Implementation Plans (NIPs) for POPs management, and
    ii) elaborating detailed specific action plans to reduce releases of POPs.

3. In addition, generic and technical guidelines for the development of NIPs and the adoption of POPs management options were developed based on the experience gained and the lessons learned during the process in the pilot countries. These widely applicable guidelines and the experience gained should facilitate the further development of NIPs in other countries. Further, the project should provide countries with a rationale for assigning priorities as well as cost estimates of various options aimed at the control or elimination of POPs.

4. The project consisted of 4 principal components:
    Component 1: National Implementation Plans for POPs management
    Component 2: Development of Global Guidelines for National Implementation Plans
    Component 3: Dissemination and Sub-regional Consultations
    Component 4: Project Coordination and Management

5. Component 1 included both the 12 country subprojects, and encompassed five steps:
    i) Determination of coordinating mechanisms and organizations of process
    ii) Establishment of a POPs inventory and assessment of national infrastructure and capacity
    iii) Priority setting and determination of objectives
    iv) Formulation of a prioritized and costed NIP and Specific Action Plans on POPs
    v) Endorsement of the NIP by stakeholders

6. Components 2, 3 and 4 include global initiatives and overall support to the project and are together referred to as the umbrella component of the project.

7. A series of sub-regional consultations were organised around the pilot countries, including fact-finding missions to Central Eastern Europe (Poland, Bulgaria, Moldova and Tajikistan), East Asia and Africa (Morocco, Jordan, Tanzania, Guinea Conakry, Kenya and Cameroon), Asia and Pacific region (Malaysia, China, Sri Lanka, Vietnam, Fiji and Papua New Guinea) and Latin American and Caribbean region (Ecuador, Nicaragua, Bolivia, Peru, Barbados and Jamaica) to gather information concerning lessons learned and difficulties faced during implementation of enabling activities.

8. Lessons learned and best practices identified for the development of NIPs were finally discussed in a series of seven regional workshops (Fiji, Malaysia, Kenya, Cameroon, Bulgaria, Barbados and Peru) attended by participants from 98 countries.

9. Moreover, in order to enhance public awareness on the adverse health effects from POPs and strengthen the capacity of civil society to intervene, small grants were offered to grass-root organisations in each pilot country for on-the-ground activities (e.g. education, awareness raising, etc.).

10. The Project commenced officially in May 2002, however the sub-project signatures and kick-off activities took much longer than originally envisaged. Thus, the two years' time-frame of the original design, was repeatedly extended, especially because of unexpected delays. A mid-term evaluation was conducted in late 2004, and the component 1 of the project was finally closed in December 2006.

11. The project attracted considerable funds. GEF provided USD 6,185,000 for project activities and administrative costs. Co-financing of USD 3,130,000 comprised of cash amounting to USD 1,090,000, mainly from donors and development agencies and, in-kind amounting to USD 1.8 million from participating countries.

Evaluation background

12. The objective of the evaluation was to assess project performance, as well as planned activities and outputs against actual results. In this respect, the evaluation aimed at assessing the extent to which the major relevant objectives were effectively and efficiently achieved, the quality and impact of actions carried out and generated products, the participation of target groups in different activities, the functional development (management) of the project to ensure the timely accomplishment of its main goals, and the potential replicability and sustainability of the outcomes.

13. The main sources of information have been the interviews with UNEP-DGEF project management, the visits to participant Institutions of Bulgaria, Chile, Ecuador, Lebanon, Mali and Zambia, and e-communication with the rest of the countries (Barbados, Bulgaria, Guinea Conakry, Micronesia, Papua New Guinea and Slovenia) (see Annexes 4-6). Project documents, including technical reports (individual, national and global), reports of meetings (e.g. Steering Committee) and workshops (national and regional), financial reports and audits, mid-term evaluation report, and relevant material outreached (NIPs, guidelines, etc.) were also reviewed (see Annex 7). Concluding assessments and ratings of the project against given evaluation criteria and standards of performance were to be provided to support the lessons learned and final recommendations.

Project performance and rating

14. The project was delineated as a pilot initiative to support a number of developing countries in building their national implementation plans (NIPs) for the management of POPs and, at the same time, to produce detailed guidance to assist them in this regard. Although the idea was sound, the design and timeframe of the project were probably not appropriate for ensuring full translation and transfer of all of the project outputs worldwide.

15. First of all, the GEF commenced supporting a large number of eligible countries for developing their NIPs almost simultaneously with the pilot project, so that the pilot role of the 12-country group was to be redefined. On the other hand, the project timeline was too short to achieve the planned objectives. In this respect, the 12 country sub-project was to be reframed and extended from 2 to 4 years and some guidance instruments to be used by the countries were not available in time. All these factors decreased the potential utility of the project from the start.

16. Despite the above drawbacks, the project was cost-effective and its implementation represented a step forward in the compliance with the obligations of the Convention that required new knowledge, skills and capacities for many of the developing countries. Indeed, the project contributed to inventory the POP sources, to establish the national priorities for action and improve the management practices for reducing the releases of POPs into the environment.

17. The major outcomes of the 12-country sub-projects were satisfactorily attained. All countries produced and delivered their NIPs in time and made all available at the Convention website except those of Malaysia, Micronesia and Papua New Guinea. Although the supporting information and the preparation process varied between countries, particularly regarding the stakeholder participation, the format and contents were of high quality.

18. On the other hand, the umbrella project, which addressed the strategic priority of supporting countries to develop NIPs, prepared guidelines and assessed lessons learned in a highly participatory process that involved almost 100 countries. The only drawback was that some guidance documents would have been even more beneficial if they were produced sooner.

19. The sustainability of the actions defined in the project is challenging from all points of view (e.g. financial, socio-political, institutional and ecological). The reality is that developing countries, usually constrained by the availability of financial resources, are particularly affected by the low priority given to the chemicals management in the political agenda. However, the information gathered during the evaluation seems to indicate positive signs in the direction of sustainability in some project countries, particularly in terms of attracting external funding resources on the basis of the capacity gained.

20. Considering the redefinition of the objectives of the project, the catalytic role as a pilot project was significantly reduced, although at national level the project helped changes in institutional and stakeholder (industrial, social,…) behaviours and contributed to policy changes. There is evidence that some countries assumed ownership and through internal workshops and training sessions are replicating what they have learned.

21. UNEP demonstrated an excellent leadership of the project. However, the consideration of certain aspects in the selection of participant countries, that were relevant to the aims of the project, like a defined level of existing capacity, willingness to comply with the Convention obligations, enabling governance structures, etc. could have improved project performance.

22. The evaluation of the overall performance of the project was undertaken within the framework of the Monitoring and Evaluation Programme of the GEF Secretariat. The Project Steering Group and particularly the Project Manager efficiently supervised and managed the project, revising the project schedule, reallocating resources, coordinating the activities and providing expertise as requested. Nonetheless, more frequent meetings would have been

beneficial, especially from the perspective of exchange of experiences and lessons learned. The early conclusion of the contract of the first project manager also deprived the project of valuable institutional memory. However, the PM was immediately replaced which, on the other hand, brought new valuable skills and expertise into the project.

23. The project was designed, in part, to demonstrate the efficacy of multi-stakeholder processes. In most participating countries the envisaged multi-stakeholder national coordinating committees were created, although to varying degrees, from the exemplary in Zambia to the more virtual in Lebanon. The problem lies with national Governments and the lack of culture of inclusiveness in some countries.

24. Unfortunately, only half of the countries developed specific activities for enhancing public awareness. The outreached materials were valuable and could be used in following information programs addressed to the public or involving the civil society. Some countries (e.g. Slovenia) continue with these initiatives to enhance public awareness.

25. The financial aspects of the project were handled satisfactorily. The major shortcomings were due to the unrealistic amount of the initial budget, aggravated by the extension of the implementation period.

26. As a summary, the overall rating of the project was satisfactory, as indicated below.

Criteria	**Evaluator's Rating**		
	12-country	Umbrella	Overall
A. Attainment of project objectives and results	S	S	S
A. 1. Effectiveness	HS	HS	HS
A. 2. Relevance	S	S	S
A. 3. Efficiency	MS	S	S
B. Sustainability of Project outcomes	ML	L	ML
B. 1. Financial	ML	L	ML
B. 2. Socio-Political	L	L	L
B. 3. Institutional framework and governance	L	L	L
B. 4. Ecological	ML	L	L
C. Achievement of outputs and activities	HS	HS	HS
D. Catalytic role	MS	S	MS
E. Monitoring and Evaluation	S	S	S
E. 1. M&E Design	S	S	S
E. 2. M&E Plan Implementation	S	S	S
E. 3. Budgeting and funding for M&E activities	S	S	S
F. Preparation and readiness	MS	MS	MS
G. Country ownership / driveness	S	S	S
H. Stakeholders participation	HS	MS	MS
I. Financial planning	S	S	S
J. Implementation approach	S	S	S
K. UNEP Supervision and backstopping	S	S	S

HS=Highly Satisfactory
S= Satisfactory
MS=Moderately Satisfactory

L= Likely
ML=Moderately likely

Conclusions

27. Based on all the above and the assessment of project performance and impact made by the participant countries through SWOT and ROtI analyses (Annex 6), the following conclusions can be drawn:

i) The project management and the UNEP backstopping, particularly during the first period of the project (2002-2004), were considered outstanding. They showed great flexibility and adaptability. However, there have been several complains about the financial management of the project. These relate to a certain duplication roles of UNEP and UNDP as implementing agencies, together with the division of responsibilities between Geneva and Nairobi. Other governance structures put in place appeared to have worked well. The monitoring mechanisms also worked well although a closer and more effective surveillance would have been helpful during the second period (2004-2007) because the terminal reports of different countries are poor or even not yet submitted.

ii) The performance indicators of the project log-frame have been assessed considering the enabling nature of the project and the adaptations made by the countries. The conclusion is that the initial objectives of the global project, primarily the preparation of guidance documents and the completion of NIPs, were satisfactorily accomplished, and in some cases expectations were exceeded. It was, however, not possible to assess the long term objectives (e.g. reduction of releases of POPs or adverse human health incidents), although the project was effective in creating national capacities toward achieving these.

iii) The project built the management capacity of target countries in handling POPs issues. It clearly provided the tools and technical assistance to countries so that they were able to prepare their national implementation plans, and respond to obligations derived from the ratification of the Convention. As an enabling project, it was thus highly successful.

iv) The guidance documents and training activities were of excellent quality, and responsive to the needs of developing countries. The only drawback was that the guidelines would have been even more beneficial if produced sooner, like the one for the socio-economic assessment that was issued when the project was over. The countries also recognized the limitations of certain methodologies (e.g. for the preparation of POPs emission inventories) and the need for adaptation or updating according to the specificities of the countries/regions.

v) For various reasons, the accomplishment of some steps required more time than foreseen, a question that should be better considered when designing projects involving countries with different capacities. The completion date, far beyond the one originally envisaged, reduced the project's benefits as a model to be followed in the global context.

vi) The large attendance of project workshops, with participants from almost 100 countries, and the way in which they were organized (by regions and working groups with targeted issues to discuss) enabled to exchange of experiences, and proper identification of the needs and requirements of countries to manage POPs, and comply with the Convention. This kind of activity should, in a certain way, be continued to assess progress and update knowledge. Institutional arrangements need to be established to secure this.

vii) The outreach materials and the small grant projects have been cost-effective not only in contributing to the diffusion of results and increasing public awareness, but also in encouraging stakeholder participation. Unfortunately, not all countries were involved in these activities. The project document should probably have made a direct reference to the need for the social participation in the process.

viii) Although the project envisaged the active participation of stakeholders, this has been very irregular, both at global and national levels. Ten of the twelve countries used the multi-stakeholder approach to varying degrees, and project performance clearly benefited from this. However, participation in Steering Groups has been very weak. This issue needs to be better addressed in future projects, even for the selection of participant countries.

ix) The sustainability of the project outcomes is a challenging issue. Political willingness is the major driver in ensuring sustainability of the process. This fosters legislation and institutional changes and, even under financial constraints, may keep the issue on the environmental policy agenda. Conversely, the lack of ownership and public awareness is a significant barrier to promote or support those changes..

x) The catalytic role of the project to instrument changes has been limited. External factors, like legislation to be enforced (e.g. EU directives for Slovenia and Bulgaria) or, conversely, the weak participatory framework and lack of funding capacity (e.g. Lebanon, Micronesia, Mali, and Zambia) have been the main conditioning factors, in the positive and negative senses, respectively.

xi) The implementation of NIPs may foster governmental policies regarding POPs on compliance of the Convention but this will greatly depend on continued international support for the necessary investments. The evaluation has evidenced that changes in legislation, the continuity of the created organizational structures (e.g. NCC) and the adoption of specific budget lines for POPs vary in each of the twelve countries.

Lessons (to be) learned

28. From the above conclusions, a number of lessons from the standpoint of the design and implementation of the project were learned, and considered of interest for UNEP in preparing future activities. Lessons will mostly refer to actions to be considered in future projects for the implementation of the Stockholm Convention in developing countries/regions.

i) The design of the project included performance indicators such as “evidence of reduction of releases of POPs in the environment”, and “reduction of the number of reported acute adverse human health incidents” that were not to be achieved during the project lifetime, and others with a doubtful cause-effect relationship like “increased number of countries signing and or ratifying the Convention”. These indicators are distracting, and would make the project lose its reference to the central issues. The lesson to be learned here is that attention should be paid to appropriate selection of performance indicators which reflect and can measure the actual achievements of a project.

ii) The efficacy of the pilot project was heavily undermined when, before its completion, GEF offered grants to all eligible countries for the same purpose. In such situation it is clear that there was little use of the pilot project approach. The lesson to be learned is that it is important that external events that may affect the project are considered, and the scope of the project reviewed if the circumstances advise. This should apply not only to new initiatives but also to on-going ones (e.g. capacity building projects) in order to strengthen project outputs.

iii) When designing a pilot project such as this, with different components involved, it is essential to have an adequate time frame to ensure optimal use of resources and a productive synergy among the different steps. The implementation plan was not very cost-effective. It would have been more beneficial if the project was developed in several phases: the first phase for preparing the project during which a project manager should be appointed and the organizational structures agreed upon, the second phase for desk studies to prepare for subsequent field work, and the final phase for project closure and ensuring full translation and worldwide transfer of all project outputs.

iv) The difficulties experienced in the development of the project could be alleviated if the composition of the partnership (e.g. socio-economic, political and geographical characteristics of the countries) was properly factored into the budgets, as well as into project timelines and other elements of the project structure. Funding should take into account the real costs, especially transport/logistics, communication, consultancy, etc. in each of the project countries. To avoid confusion related with financing the whole/partial activities with national funds, in-kind contribution should also be clearly documented. This could also be a consideration for the selection of the country.

v) The overall project and 12-country sub-project managers were also very important to the success of the project. However, the unforeseen changes in personnel that were experienced during the project development lead to loss of institutional memory, expertise and unnecessary disruptions. The lesson to be learned is that changes in key project personnel should be avoided, or at least the consequences should be mitigated through proper adaptive provisions.

vi) The delayed implementation of the project had also practical implications as in the meantime the reality on the ground changed. In particular, POPs inventories do not include any reference to the 9 new POPs added to the original list covered by the Stockholm Convention. Therefore, the lesson to be learned is that if realities of the project thematics change to the extent that this would have significant effect on the project's ability to achieve its results, it should be possible to make provisions to redefine the expected outcomes and performance indicators.

vii) The appropriate selection of the partnership is fundamental as this has a potential impact on project success. Although this selection should not exclude less performing countries, because a lot can be learned from difficulties and failures, the present experience indicates that some additional criteria are worth considering. The lesson to be learned is that weighted consideration for inclusion in the pilot project should be given to countries with a record of basic capacity installed and previous accomplishments in the area that could be documented by a well-founded declaration of interest. This will enhance synergies between the field and desk components, increasing the cost-efficiency of the project.

viii) Stakeholder participation is a requirement of the SC. Assigned responsibilities for each member are very important for the efficient operation of a coordination mechanism, ensuring substantial contributions and a strong basis for POPs management. Indeed, a major lesson learned from involving stakeholders is that providing them information and building their capacities makes them more effective in their roles as project participants. However, taking into account their uneven involvement along the project, another lesson learned is that they should be identified and informed of this participatory process in advance of the project starting in order to enhance their participation. Provisions should be made for this at the project design stage.

ix) As indicated in the assessment the project performance, reporting has been very irregular across countries, and not always successfully managed. At present, most reports are exhaustive regarding the financial aspects but some are weak in terms of technical content. Moreover, final accounting and audit certificates have not been provided by some countries and this requires further tracking. It is surprising that these differences had no impact on the disbursement of funds and, at the end, all countries received funds budgeted for irrespective of the degree of execution of their obligations. Failure to meet reporting obligations should make a country ineligible to receive further support. A lesson to be learned is that project documents should adequately address the issue of how to deal with failures to comply with reporting obligations.Efficient interim monitoring and evaluation has to be implemented by UNEP in order to determine the specific reasons for delays in reporting and/or potential failing in progress. This will help create stronger linkages between disbursements of funds and the achievement of results and outcomes.

x) Efficient project management requires careful consideration and a sound chain of command. Project managers cannot be held accountable for total project management without the authority to manage funds or, even worse, without access, on-line, to the current state of the project budget. The lesson learned here is that roles and responsibilities need to be clearly defined, and those with authority held fully accountable. A reinforced management should be able to respond effectively to project delivery problems, and effect timely remediation of problems.

xi) When preparing to assist developing countries comply with Convention obligations that require new knowledge, skills and capacities, the preparation of the guidance documents should be seen as a prerequisite, and enabling grants should be withheld until these documents are ready. This is consistent with the suggestion above for a phased implementation of the project. Moreover, the possibility to adapt these tools to national/regional realities should be envisaged, particularly when they involve technologies that might not be suitable, or not very appropriate for these countries.

xii) Training is of particular importance in these projects. The adoption of a regional approach in implementing all these activities has proved to be the most convenient and effective, although only partially exploited. Countries with similar problems and levels of development have very specific needs for capacity building, and these can best be addressed on-site. South-South cooperation would have greater, more direct and immediate benefits.

xiii) The participation of the governmental and private sectors in oversight structures is essential to the sustainability of action plans, encouraging decision-making, and the

necessary investments. Therefore, the continuity of these bodies should be strengthened during the implementation of the project.

xiv) The present project took much longer time than expected because not all circumstances were foreseen at the sub-project design stage. The project **operational aspects**, particularly those of administrative, financial and temporal nature, should be reviewed with the respective countries prior to implementation. This would make it possible to take adequate account of local conditions and modes of operation, and flexibility to optimize project effectiveness and efficiency.

Recommendations

29. The following recommendations are made as a result of this evaluation of the UNEP/GEF Targeted Project "Development of National Implementation Plans for the Management of Persistent Organic Pollutants"

i) The **regional implementation** design proved to be a suitable and cost-effective approach. Encompassing more homogeneous political, socio-economical, and linguistic environments facilitates knowledge transfer and sharing of experiences. Follow-up activities at regional level (workshops, training seminars, etc.) are strongly recommended.

ii) Resources should be mobilized to update NIPs, especially with regards to ensuring re-validating baseline data obtained from past inventories, and taking on board the new POPs added to the original list of POPs under the Stockholm Convention.

iii) Taking into account the key role that NIPs play in the implementation of the SC, the production of **guidance documents** and enhancement of expertise and the further mobilisation of financial resources should be continued through UNEP. Documents and associated training activities should be updated from time to time, consistent with the SC reporting obligations. In this respect, the production of guidance documents on the new POPs should be continued by the Convention Secretariat.

iv) Special attention should be paid to the institutional websites, including UNEP website. As the information available may contribute not only to the diffusion of the results but also to the further stakeholder participation, continued updating of the content, particularly on POPs focal points or contact persons, is imperative. The possibility to include forums in the website should also be seriously considered. Some regions proposed the establishment of regional forums for POPs and a data base for POPs experts.

v) Clear instructions should be given to project managers to archive all relevant information for easy retrieval if required later. This includes the selection and display of the relevant information in the project website.

vi) Resources should be mobilized to update NIPs, especially with regards to ensuring re-validating baseline data obtained from past inventories, and taking on board the new POPs added to the original list of POPs under the Stockholm Convention.

1. Introduction

Overview of the evaluated project

30. The Stockholm Convention on persistent organic pollutants (POPs) was adopted on 23 May 2001 and entered into force on 17 May 2004. The Convention requires countries to prepare national implementation plans that set priorities for initiating future activities to protect human health and the environment from POPs. These plans expected to provide a framework for the countries to develop and implement, in a systematic and participatory way, priority policy and regulatory reform, capacity building and investment programmes.

31. The Convention specifically identifies actions that need to be undertaken within the context of a **National Implementation Plan (NIP)**, as follows:

    a) Undertaking preliminary inventories of sources and emissions of POPs listed in annexes A and B to the Convention;
    b) Preparing an action plan for the reduction of releases of unintentional by-products;
    c) Where appropriate, preparing an action plan to control the use of DDT for disease vector control;
    d) Building capacity to report every five years on progress in phasing out polychlorinated biphenyls (PCBs);
    e) Preparing a preliminary assessment of stockpiles of POPs and of waste products contaminated with POPs and identifying management options, including opportunities for disposal;
    f) Building capacity to identify sites contaminated by POPs; and
    g) Supporting communication, information exchange and awareness raising through multi-stakeholder participatory processes.

32. Following the Stockholm Conference, it was recognized that assistance would be required to enable developing countries to implement the above actions. Thus, the Global Environment Facility (GEF) committed to provide up to $500,000 per country for enabling activities associated with the preparation of the NIPs. Moreover, some technical work was to be done to develop guidelines and tools for the identification and selection of suitable options for POPs management and elimination and assigning priorities as well as cost estimates of the different options.

33. Therefore, the project should be developed at two levels, national and global, by developing and disseminating:

    a) the National Implementation Plans for POPs management;
    b) peer-reviewed generic guidelines;
    c) tools for the identification and selection of suitable options for POPs management and elimination;
    d) a rationale for assigning country priorities as to the main assistance needs, and the cost estimates of various options; and
    e) the lessons learned during NIPs development

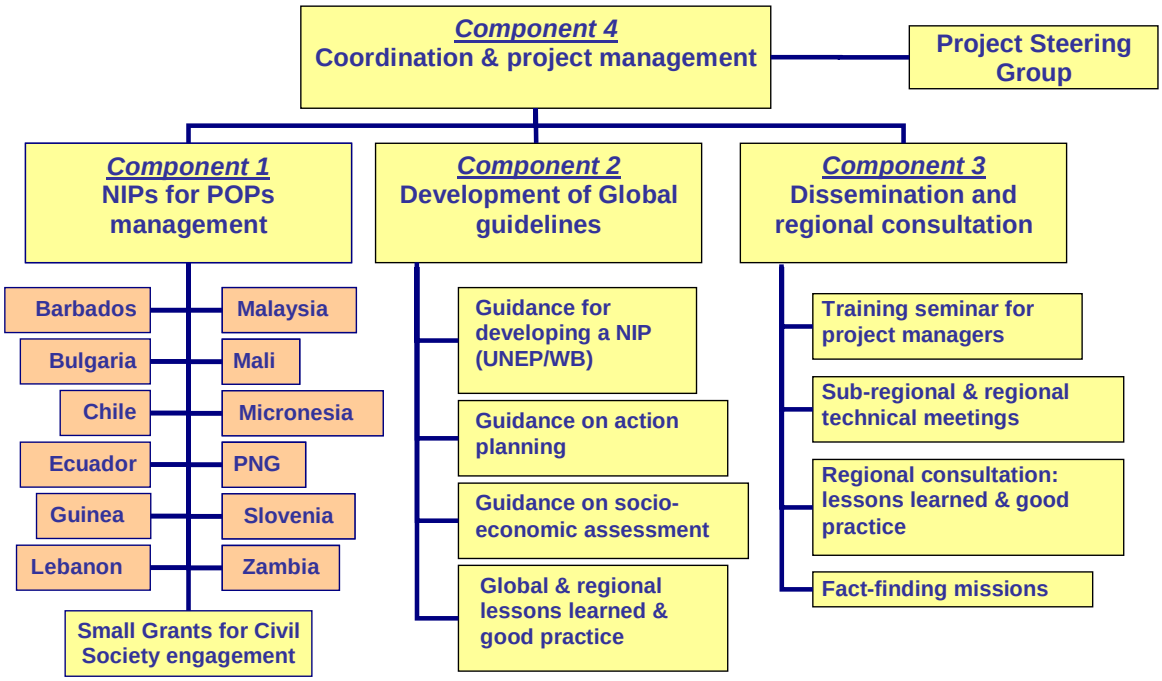
34. To achieve these objectives the project was structured in 4 principal components as shown in Figure 1:

Component 1: National Implementation Plans for POPs management
Component 2: Development of Global Guidelines for National Implementation Plans
Component 3: Dissemination and Sub-regional Consultations
Component 4: Project Coordination and Management

35. Component 1 included both the subprojects to develop national implementation plans, and a facility to provide small grants to strengthen the capacity of civil society in participating countries to intervene and assist in POPs management through on-the ground activities.

36. Components 2, 3 and 4 included global initiatives and overall support to the project and are together referred to as the umbrella component of the project.

Figure 1: Structure of the Project



37. The national subprojects would consist on a two years pilot study carried out by a group of 12 countries to develop their NIPs and to determine what tools and approaches would work best. The selected countries were Barbados, Bulgaria, Chile, Ecuador, Guinea/Conakry, Lebanon, Malaysia, Mali, Micronesia, Papua New Guinea, Slovenia and Zambia. These countries should also act as regional nucleus for cross fertilization and thereby accelerate movement enabling developing countries to join the POPs community as parties to the Stockholm Convention.

38. On the other hand, generic and technical guidelines for the development of NIPs and the adoption of POPs management options were developed based on the experience gained and the lessons learned from pilot countries. These widely applicable guidelines and the experience gained should facilitate the further development of NIPs in other countries. Further, the project should provide countries with a rationale for assigning priorities as well as cost estimates of various options aimed at the control or elimination of POPs.

39. The project was finally endorsed by the GEF in early 2002 and was signed by UNEP (as the implementing agency) and officially commenced in May 2002. However, every subproject started at a different date ranging from May 2002 to December 2002 (based on Government signatures on subdocuments). Thus, according to the subproject work plans, the two-year implementation phase should conclude until January 2005, but due to several delays it was repeatedly extended and finally closed on December 2006.

40. A mid-term evaluation was conducted in late 2004.

Project activities

41. The activities to be carried out in each of the 12 pilot countries for the development of **National Implementation Plans for POPs Management**, as part of **Component 1** of the project, included five steps:

1) Determination of coordinating mechanisms and organisation of process
    a) identification and sensitisation of the key national stakeholders;
    b) organization of a national coordinating structure (multi-stakeholder national coordinating committee) and focal point;
    c) identifying and assigning responsibilities for the various aspects of POPs management;
    d) workplan development; and
    e) public information and awareness raising (to be continued throughout the project).

2) Establishment of a POPs inventory and assessment of national infrastructure and capacity
    a) preparation of a National Profile (or core sections thereof as they relate more specifically to POPs);
    b) preliminary inventory of production, distribution, use, import and export;
    c) preliminary inventory of stocks and contaminated sites; assessment of opportunities for disposal of obsolete stocks;
    d) preliminary inventory of releases to the environment;

e) assessment of infrastructure capacity and institutions to manage POPs, including regulatory controls; needs and options for strengthening them;
f) assessment of enforcement capacity to ensure compliance;
g) assessment of social and economic implications of POPs use and reduction; including the need for the enhancement of local commercial infrastructure for distributing benign alternative technologies/products;
h) assessment of monitoring and research and development capacity;
i) identification of POPs related human health and environmental issues of concern, including their transboundary nature; and
j) basic risk assessment as a basis for prioritisation of further action taking into account, inter alia, potential releases to the environment and size of exposed population.

3) Priority setting and determination of objectives
   a) development of criteria for prioritisation, taking into account health, environmental and socio-economic impact and the availability of alternative solutions; and
   b) determination of national objectives in relation to priority POPs or issues.

4) Formulation of prioritised and costed National Implementation Plan, and specific Action Plans on POPs
   a) identification of management options, including phasing out and risk reduction options;
   b) need for introduction of technologies, including technology transfer; possibilities of developing indigenous alternatives;
   c) assessment of the costs and benefits of management options;
   d) preparation of initial funding request package for implementation, including cost estimates and incremental costs; and
   e) development of a national strategy for information exchange, education, communication and awareness raising, taking into account risk perception of POPs by the public, particularly the least educated.

5) Endorsement of NIP by stakeholders
   a) preparation of an information document/report to be submitted to stakeholders for comments; and
   b) organisation of workshops and dissemination of information to obtain commitment of stakeholders and decision-makers.

42. Moreover, as the adverse health effects from POPs are felt on the public at large, and particularly the least educated, it was important to involve civil society in the project. However, Organisations representing civil society, particularly in developing countries, generally lack the capacity to engage meaningfully in discussions on POPs management. In order to strengthen the capacity of civil society to intervene, small grants were offered to grass-root organisations in each pilot country for on-the-ground activities (e.g. education, awareness raising).

43. At the start of the project, **Global Guidelines for National Implementation Plans** (**Component 2**) were to be developed by UNEP Chemicals, with the participation of consultants and experts, and made widely available to facilitate the development of NIPs in all other GEF eligible countries. This involved the following activities:

a) compilation and expansion (where needed) of methodologies;
b) evaluation of existing management options for different POPs and recommendation of most effective methods;
c) development of tools for priority setting;
d) review of lessons learned and consolidation of the framework guidelines for the development of National Implementation Plans;
e) evaluation of the costs of developing the NIPs ("cost-norms" for POPs enabling activities) ; and
f) evaluation of the financial and technical assistance needed to implement the Plans.

44. Over the course of the project **Dissemination and Sub-regional Consultations** (**Component 3**) were to be held with other GEF eligible countries around each of the twelve pilot countries with the following purposes:

a) the pilot countries will be able to submit the difficulties that they encounter, and possibly benefit from the experience and knowledge in other countries.
b) the other non-pilot countries will be encouraged to think about how they might prepare for implementation of the Convention, and will be alerted about the difficulties faced by the pilot countries.
c) to assist countries in understanding the implications of signature and ratification of the Convention with a view to facilitating its entry into force.
d) replicability and future use of the guidelines will be ensured through all countries being aware of their existence and interested in using them.

45. To this end, a series of fact-finding missions were organised to Central Eastern Europe (Poland, Bulgaria, Moldova and Tajikistan), East Asia and Africa (Morocco, Jordan, Tanzania, Guinea Conakry, Kenya and Cameroon), Asia and Pacific region (Malaysia, China, Sri Lanka, Vietnam, Fiji and Papua New Guinea) and Latin American and Caribbean region (Ecuador, Nicaragua, Bolivia, Peru, Barbados and Jamaica) to gather information concerning lessons learned and difficulties faced during implementation of enabling activities.

46. After completion of the different steps of the NIP development in the twelve participating countries, the above-mentioned guidelines were reviewed in the light of the lessons learned and experience gained in a series of seven regional workshops (Fiji, Malaysia, Kenya, Cameroon, Bulgaria, Barbados and Peru) attended by participants from 98 countries, out of the total of 112 GEF eligible countries.

47. Finally, a detailed **Communication strategy**, taking into account both the short term communication needs at the country level, and longer term needs at the country as well as regional and global levels was defined. The results of the overall project, and particularly the guidelines containing the wealth of experience acquired through this project, as well as the NIPs, were widely disseminated in hard copy and electronically and made available to the first meeting of the COP of the POPs Convention.

48. The **Project Co-ordination and Management** (**Component 4**) was ensured both at national and international levels, through a National Coordinator and a National Coordinating Committee comprising the main actors in government as well as representatives of industry and the civil society, and a Project Manager (appointed at UNEP Chemicals) and the project

Steering Group composed, *inter alia*, by UNEP Chemicals, UNEP GEF Coordination Office, other GEF Implementing Agencies, UNITAR, and the major donors to the project. The National Coordinators were invited to the Steering Group meetings to facilitate experience sharing and discuss and resolve difficulties.

49. An overview of the general involvement of the countries in the Project is given in Table 1. As it can be seen, four countries out of 12 still have not completed the submission of the NIP to the Stockholm Convention Secretariat, and one has not even ratified the Convention.

Table 1. Country perspective and Project involvement

	Stockholm Convention		**12-country project**				
Participant	**Signature**	**Ratification**	**National training**	**Regional meeting**	**Support to civil society**	**Final mtg.**	**NIP**
Barbados		07/06/2004*	xx	xx (ffm) (host)			10/12/2007
Bulgaria	23/05/2001	20/12/2004	xx	xx (ffm) (host)	xx	xx	27/09/2006
Chile	23/05/2001	20/01/2005	xx	xx	xx	xx	30/05/2006
Ecuador	28/08/2001	07/06/2004	xx	xx (ffm)	xx	xx	06/09/2006
Guinea	23/05/2001	11/12/2007	xx	xx (ffm)	xx	xx	22/04/2010
Lebanon	23/05/2001	03/01/2003	xx			xx	17/05/2006
Malaysia	16/05/2002		xx	xx (ffm) (host)		xx	
Mali	23/05/2001	05/09/2003	xx	xx	xx	xx	08/08/2006
Micronesia (Federated States of)	31/07/2001	15/07/2005	xx	xx		xx	13/10/2007†
Papua New Guinea	23/05/2001	07/10/2003	xx	xx (ffm) (host)	xx	xx	17/05/2006†
Slovenia	23/05/2001	04/05/2004	xx	xx		xx	02/02/2010
Zambia	23/05/2001	07/07/2006	xx	xx		xx	11/05/2009

ffm: fact-finding mission
host: host a regional meeting
* Accession
†Deadline for transmission of NIP

Outputs

50. The main outputs of the project for the twelve pilot countries were the NIPs for managing POPs that include an assessment of POPs relevant chemical management infrastructures, the establishment of POPs inventories, and the identification of suitable management options for POPs that are adapted to circumstances prevailing in these countries. The countries also prepared elements of a prioritised and costed action plans for management and remediation actions.

51. The major outputs at the global level were peer reviewed general and technical guidelines to assist governments in managing and eliminating POPs. These guidelines include the lessons learned in the twelve pilot studies, and possible approaches to managing POPs.

52. The components and activities leading to these outputs and, ultimately, to the project's outcomes and objectives are summarised in the project log-frame (Annex 1).

Executing Arrangements

53. The project was implemented by UNEP through the project Steering Committee. UNEP appointed a Project Manager who acted as the secretary to the Steering Committee and managed the umbrella project.

54. At the national level, the project was executed through multi-sectoral National Coordinating Committees comprising the main actors in government, as well as representatives of industry and the civil society (environmental NGOs, academia, trade unions, etc). The National Coordinating Committees facilitated co-ordination of the project activities amongst national stakeholders, provide guidance and support to the execution of the project, and oversaw the work of the national coordinator. The National Coordinating Committee would assemble and finalise the NIP.

55. Each country designated an institution acting as the focal point for the national components of the project. This institution provided a National Coordinator appointed after discussion with UNEP, and endorsed by the National Coordinating Committee. The National Coordinator acted as Secretary to the National Coordinating Committee and oversaw overall project execution and coordination with UNEP.

56. Since project activities were carried out mainly at the national level, other intergovernmental agencies as well as development agencies (e.g. UNITAR and UNDP) were invited to take on specific activities where they had expertise, under the responsibility of UNEP Chemicals. Other international organizations also provided technical assistance to the pilot countries and at the same time ensured the smooth organization of training and other capacity building activities.

Budget

57. This project attracted considerable funds, GEF provided USD 6,185,000 for project activities and administrative costs. Co-financing of USD 3,130,000 comprised of cash amounting to USD 1,090,000, mainly from donors and development agencies and, in-kind amounting to USD 1.8 Million from participating countries. A summary of the financial information and a statement of project expenditure by activity are shown in Annex 2.

58. Cash co-financing was secured from Germany (220,000 US dollars), Switzerland (60,000 US dollars), and Sweden (271, 000 US dollars). In addition to this total, UNEP also provided co-financing of 168,000 US dollars from Trust Funds: 30,000 US dollars for case study activities (Trust Fund PO/3100-97-03) and 138,000 US dollars for activities related to PCB inventory taking activities from funds received from the Government of Switzerland (Trust Fund PO/3100-97-49-2220).

59. The Executing Agency, UNEP Chemicals, provided in-kind support to the Project Manager, for World Wide Web dissemination of results, and for monitoring and evaluation.

2. **Evaluation scope, objective and methods**

Scope

60. This terminal evaluation is addressed to assess the following components of the project:

1) The different activities carried out during the development of the project by the leading Institution (UNEP Chemicals), the contracted experts and the participant countries.
2) The procedures implemented for the project management, including the financial planning, and devoting particular attention to the internal monitoring procedures for tracking the progress towards the objectives.
3) The subsequent attained objectives, notably the development and implementation of NIPs, the elaboration of Action plans delineated for reducing releases of POPs, and the issue of tools and guidelines for better management of POPs.
4) The planned outputs, with special emphasis on their cost-effectiveness regarding their incidence on country ownership as well as on their potential replicability and sustainability.

61. This assessment implies, whenever possible, the consideration of the baseline conditions in relation to the project outcomes, in order to attribute their achievement to the actions of the project.

Objective

62. The main objective of the evaluation is the assessment of project performance (e.g. the quality of the overall project management, application and effectiveness of project monitoring and evaluation plans and tools, of financial planning, etc.) and of planned project activities and planned outputs against actual results. The evaluation should also look at the extent and magnitude of any project impacts to date and determine the likelihood of future impacts on the development of the monitoring component of the SC. Concluding assessments and ratings of the project against given evaluation criteria and standards of performance (e.g. regarding "stakeholder" participation and future sustainability) should be provided to support the lessons learned and final recommendations.

63. The Terms of Reference (ToR) of this evaluation are included in Annex 3. They indicate that in attempting to evaluate any outcomes and impacts that the project may have achieved, the project's performance should be assessed by considering the difference between the answers to two simple questions "what happened?" and "what would have happened anyway?".

64. As an example, the evaluation will focus on the following main questions:

a) To what extent has the project assisted countries in the preparation or strengthening of NIPs for the management of POPs and in determining effective national processes and measures that would reduce releases of POPs?
b) What is the extent of, and evidence supporting, enhanced capacity of policy-makers; competent authorities field personnel in complying with the reporting obligations of the POPs Convention?
c) How effective was the project in facilitating the implementation of the POPs Convention for its other parties through development of guidelines and tools for

the identification and selection of suitable options for POPs management and elimination?

Methods

65. The ToR indicate that the evaluation should be conducted using a participatory approach, involving interviews with key actors and visits to project staff and selected project sites, as well as an in-depth examination of all relevant documents and reports generated by the project. They also state the evaluation criteria and standards of performance that should be followed in formulating the concluding assessments and ratings of the project.

66. The evaluation, overseen by UNEP's Evaluation Office, was carried out between 18 February 2010 and 28 April 2010, with a first draft completed for circulation to UNEP/Evaluation Office on 30 April. Project Management in UNEP Chemicals, collaborators and members of the Steering Group, were interviewed. In the same way, the relevant opinions of participating countries, including national Institutions and stakeholders, were obtained in field visits or by email.

67. Field visits to the following Institutions were completed:

a) Project management staff:

Global Project Management Unit in Geneva (UNEP Chemicals).

b) Participating countries:

Ministry of Environment and Water (Sofia, Bulgaria)
Ministerio del Ambiente del Ecuador (Quito, Ecuador).
Comisión Nacional del Medio Ambiente de Chile - CONAMA (Santiago, Chile)
Ministry of Environment (Beirut, Lebanon)
Direction Nationale de l'Assainissement et du Contrôle des Pollutions et des Nuisances (Bamako, Mali)
Environmental Council of Zambia (Lusaka, Zambia)

c) National stakeholders:

Ecuador (Quito):
Asociación de Productores de Pinturas Resinas y Químicos del Ecuador
Agencia Ecuatoriana de Aseguramiento de la Calidad del Agro-MAGAP
Consejo Nacional de Electricidad (CONELEC)
Escuela Superior Politécnica del Litoral (ESPOL)

Bulgaria (Sofia)
Balkan Science Education Center of Ecology and Environment (BSECEE)

Chile (Santiago):
Comisión Nacional del Medio Ambiente
-Sección de Sustancias Químicas y Sitios Contaminados

-Área Descontaminación Atmosférica
Departamento de Salud Ambiental (Ministerio de Salud)
Red de Acción en Plaguicidas y sus alternativas para América Latina (RAPAL)
United Nations Development Programme (UNDP)

Lebanon (Beirut):
American University of Beirut

Mali (Bamako):
Laboratoire Central Vétérinaire (LCV)
Coordination des Associations et Organisation Féminines (CAFO)
Crop Life

Zambia (Lusaka):
Ministry of Labour and Social Security
Ministry of Health
National Institute for Scientific and Industrial Research
University of Zambia
National Malaria Control Centre
Zambia Energy Supply Corporation (ZESCO)

68. The national project responsibles or alternatively the POPs focal points were invited to fill a questionnaire for assessing the project performance (Annex 4) and to perform ROtI and SWOT analyses (Annexes 5a and 5b) with respect to the impact of the project on their performance and capabilities. The contributions from Bulgaria, Lebanon, Malaysia, Papua New Guinea and Slovenia are particularly appreciated. The list of persons contacted is shown in Annex 6.

69. Finally, a desk review of project documents was performed, including (Annex 7):

a) Project proposals and monitoring reports, such as progress and financial and auditing reports to UNEP and GEF, Steering Committee reports, and relevant correspondence.
b) Technical and Project Country Reports
c) NIPs and action plans
d) National Profile on POPS (summary of social-economic aspects)
e) Reports of national workshops (workshops on NIP and action plans endorsement)
f) Results of mid-term evaluation
g) Results of regional consultations and workshops
h) List of lessons learned and best practices on NIP development.
i) Relevant material outreached (guidelines, posters, etc.)

70. Following a given criteria, the evaluation used “achievement indicators” and “standards of performance” (see ToR) in formulating the concluding assessments and ratings of the project. The Review of Outcomes to Impacts (ROtI) method (described in Annex 6 of the ToR) was used to establish the overall ratings for the project.

3. Project performance and impact

71. The assessment of the project performance and impact was performed on the basis of all information generated and obtained from the main actors, as well as on the baseline conditions existing beforehand in relation to the project outcomes, in order to be able to identify the results credited to the project.

72. Particular attention was paid to the objectively verifiable indicators and critical assumptions and risks specified in the log-frame matrix of the project document (Annex 1) together with the internal rating project performance and risk assessment carried out annually by the Project managers (UNEP GEF PIR FY Reports).

73. Before drawing general conclusions and recommendations, the assessment has considered separately the two main components of the project, namely the 12-country sub-projects and the umbrella project. These were part of a global effort of GEF and UNEP Chemicals of providing assistance to developing countries with respect to the POPs Convention-driven needs.

74. When the Convention was concluded it was recognized that countries should have the capacity to conduct monitoring activities and action plans to sustainably reduce releases of POPs. In particular, countries would be required to develop national implementation plans (NIPs), although there was no detailed guidance available to assist them in this regard. Therefore, the project was designed to fill this gap, including a pilot initiative of supporting a number of developing countries in building and implementing their NIPs.

75. Although the idea was sound, the design and timeframe of the project were probably not appropriate for ensuring full translation and transfer of all of the project outputs worldwide. First of all, a pilot project by definition is to test approaches and finding out what works and doesn't work so non-pilot countries would not have to discover these by themselves. Secondly, the guidance instruments should be produced quite in advance of their use and application by the countries initiating their NIPs development.

76. For reasons beyond the scope of this report, the GEF commenced supporting a large number of eligible countries almost simultaneously with the pilot project, so that the pilot role of the 12-country group was diminished.

77. On the other hand, the project took more than four years to progress from concept generation to the initiation phase. This was far too long if the project was to realize its objective of being a model for others to follow. Further delays occurred in setting the financial mechanisms and country signatures as well as in hiring project managers and establishing the coordination structures in a timely manner.

78. All these factors hampered gaining country ownership and decreased the potential utility of the project from the start. Moreover, the contract of the project manager ended before the end of the project and the management was transferred from UNEP Chemicals in Geneva to UNEP DGEF, first based in Nairobi and then again in Geneva, weakening the project monitoring and performance and delaying some project activities. Finally, the time elapsed since the approval of the terminal evaluation added difficulties because the information was not conveniently archived and most of the actors were no longer in place.

3.1. 12-Country sub-projects

79. A detailed evaluation of the country sub-projects is provided in Annex 8, whereas a general overview of the principal features and achievements is given here.

3.1.1. Attainment of objectives and planned outcomes

80. The log-frame matrix of the project document (Annex 1) stated that the overall objective was to protect human health and the environment through prompt implementation of the Stockholm POPs Convention; and the performance indicator set out was evidence of reduction of releases of POPs in the environment, and a reduction of the number of reported acute adverse human health incidents. On the other hand, the expected outcomes were to enhance the reporting capacity of countries on the needs of the POPs convention and their capacity to manage, in a broad sense, POPs and other chemicals.

81. The verification and evaluation of the project achievements indicated in the logical framework matrix is described in Table 2.

Table 2: Evaluation of the objectives and outcomes of the 12-Country sub-projects

Overall objective	Verifiable indicators	Evaluation of attained results
To protect human health and the environment through prompt implementation of the Stockholm POPs Convention	Reduction of releases of POPs in the environment; Reduction of the number of reported acute adverse human health incidents.	Both, the overall objective and the verifiable indicators, are well above the aims of the project. The project is designed to prepare the ground (develop instruments) rather than to oversee an intervention (investment). In fact, there is only an indirect cause-effect relationship between enabling activities and the final results expected. The proposed objective is a final and long-term goal, when many other steps will be accomplished. However, this apparent unfocused scope does not invalidate the formulation and development of the project that provided the ground for achieving it.
Outcomes	**Verifiable indicators**	**Evaluation of attained results**
Pilot countries have the capacity to meet their obligations under the POPs Convention.	Reporting capacity meeting the needs of the POPs Convention.	The project has fulfilled the primary obligation of countries to submit the NIP to the Convention secretariat. However, full evidence of capacity can only be obtained through acknowledgement of satisfactory reporting from the POPs Convention secretariat.
Strengthened national capacity to manage	Reform in legislation, infrastructure, etc.	National profile training and upgrading assistance was provided to all countries

Persistent Organic Pollutants (POPs) and other chemicals in the pilot countries.		(Table 1). The extent to which this capacity has been really devoted to POPs management varies between countries. Most of them amended their domestic legislation to facilitate compliance with the Convention obligations. This action was also extended to the development of governance instruments
Objective basis for POPs management priorities in the pilot countries.	Priorities identified during the project are used as the basis for national action.	Priorities were certainly identified and reflected in the NIP and used in the definition of the National action plans. The implementation of the actions was very much depending on the availability of resources. Updating of national profiles was planned by several countries (e.g. Bulgaria)
Enhanced knowledge and understanding of national POPs problems amongst decision makers, managers, industry, and the public at large.	Increased importance of chemicals problems on the political agenda; Increased national activities on chemicals / POPs problems	All countries organized a formal meeting for launching the project, with the participation of key stakeholders. The priority setting meetings also involved the participation of stakeholders. Most countries established a multi-sectoral POPs National Coordinating Committee and organized activities for enhancing public awareness. Therefore, the importance of chemicals problems on the political and social agenda was certainly enhanced during the development of the project. In general, the conclusions and recommendations contained in the NIPs have received broad-base and long lasting national acceptance and endorsement.

82. Overall, as indicated in Table 2, the 12-country sub-projects were **effective** in producing the expected outcomes, despite a few problems here and there. However, the formulation of the overall objective and performance indicators was to some extent overdesigned in the sense that they were not achievable within the estimated life of the project, although the project was effective in creating national capacities toward achieving a healthy environment with less risk to people.

83. The project had a significant impact on the management of POPs in pilot and non-pilot countries, especially in terms of the preparation or strengthening of NIPs, and in national processes and measures to reduce releases of POPs. Furthermore, the project provided profile training and upgrading assistance to all countries, thereby helping strengthen national capacities to manage POPs. It must be pointed out, however, that some of that capacity has been lost in some countries because the beneficiaries of these training programs moved on to other jobs, instead of continuing to work in the area of POPs management.

84. The project also helped pilot countries in having an objective basis for prioritizing POPs management, and increased knowledge and understanding of national POPs problems among decision-makers, managers, industry, and the public at large. Thus, another major project

objective was attained in many pilot countries. In the first place, the national POPs inventories help pilot countries identify priorities which were then reflected in the NIPs and used to prepare National action plans. However, many pilot countries have expressed the need to update their POPs inventories, and the lack of resources may impede the further implementation of NIPs in these countries.

85. A number of pilot countries (e.g. Bulgaria, Ecuador, Malaysia, Slovenia and Zambia) have also revised or prepared new legislation on POPs, based on the findings of national inventory programs, and other project activities such as sensitization of legislators. This again, is indicative of the effectiveness of the project in view of the fact that such legislation forms a sound basis for the mitigation of POPs problems in the future.

86. In view of the fact that the review is taking place 7 years after the initial completion date of the project, some observations can be made about the long term impacts of the project. First, legislation and policy changes promoted by the project continue to be the main drivers to have positive impact on the environment and human health. In addition, training and capacity-building programs have a lasting effect on the implementation of the Stockholm Convention in many pilot countries. Furthermore, many public sensitization and awareness-raising programs continue to bear fruit, well after the completion of the NIPs. A general scheme of the impact pathways, using the ROtI method, is shown in Figure 2. The analysis of these impacts points to that they will likely occur (Table 3).

Figure 2: General outline of the impact pathway for the 12-Country project component.

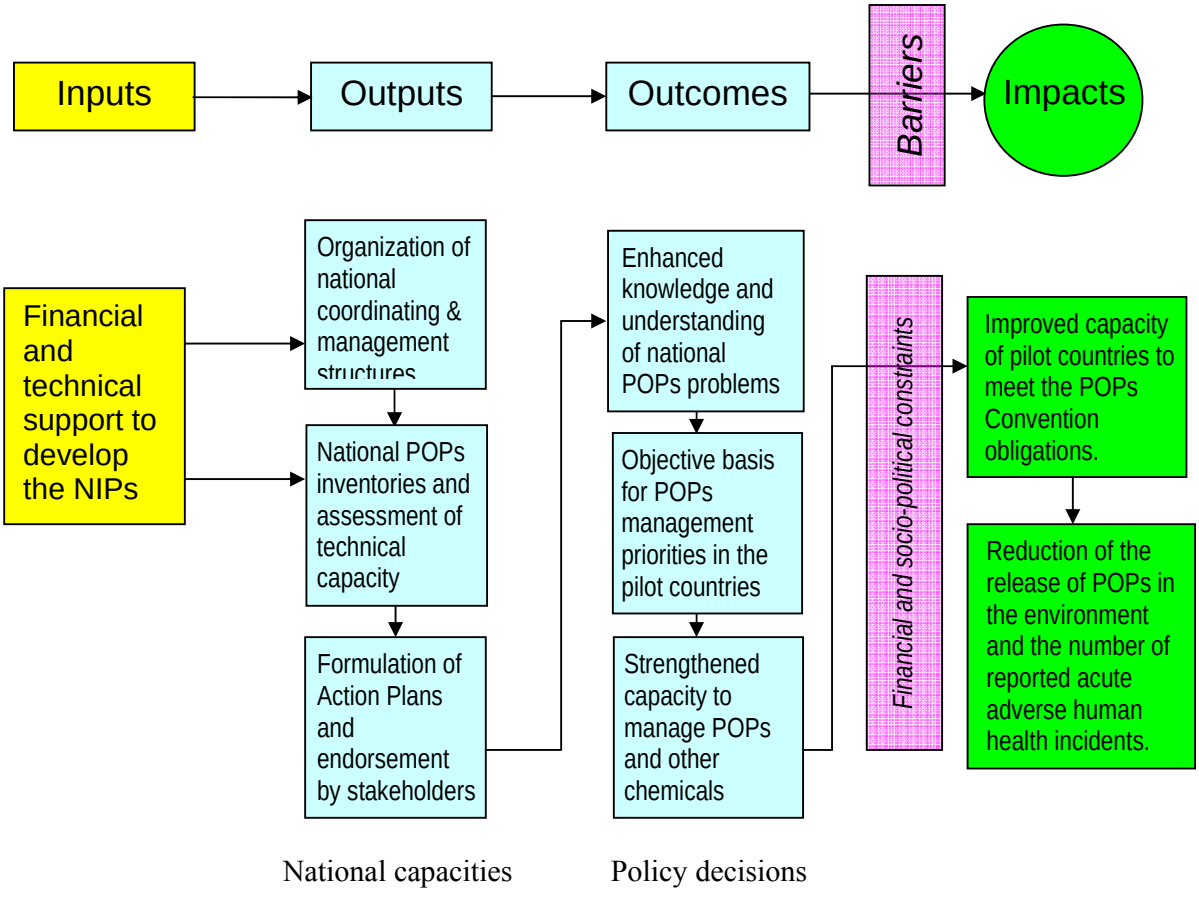


Table 3: Review of outcomes to impacts (ROtI analysis) for the 12-Country project component

Outcomes	Rating	Intermediate	Rating	Impact	Rating	Overall*
1. Strengthened national capacity to manage POPs and other chemicals in the pilot countries 2. Objective basis for setting POPs management priorities in the pilot countries. 3. Enhanced knowledge and understanding of national POPs problems amongst decision makers, managers, industry, and the public at large.	B	1. Refinement of international guidelines and reporting assistance; policy-decisions; investments. 2. Skilled manpower for data/information gathering; establishment of meta-data bases. 3. Development and implementation of Action Plans. 4. Appropriate amendments of legislation on persistent toxic substances; awareness raising activities for stakeholders	C	1. Help accelerate pace at which Contracting Parties are able to meet the POPs Convention obligations. 2. Reduction of releases of POPs in the environment; reduction of the number of reported acute adverse human health incidents.	+	BC+
Rating justification		**Rating justification**		**Rating justification**		
The Project's intended outcomes were successfully delivered, and feed into a continuing process, but with no clear allocation of responsibilities after the end of the Project.		Progress towards intermediate states has produced results, but there are barriers (mainly financial and socio-political) that hamper going towards the intended long term impact.		There is evidence, for some countries, of impacts accruing beyond the life of the Project.		

*see Annex 3 (page 103) for the interpretation of the ratings.

87. The 12-country sub-projects were also highly **relevant** to national development strategies, and thereby contributed to the outcomes of the UNEP POPs program, and the wider objectives of the GEF. Comparing with the situation existing at the start of the project, it can be concluded that its implementation represented a step forward in the compliance with the obligations of the Convention that required new knowledge, skills and capacities for many of the developing countries. The project enabled to inventory POP sources, establish national priorities for action and improve the management practices for reducing the releases to the environment. Consequently, the project activities contributed significantly to enhance the capacity of countries to manage persistent toxic chemicals and incorporate the issue in their national planning and decision-making.

88. With regards to the **efficiency** it can be said that despite the above mentioned delays and the corresponding loss of efficiency/energies the project was cost-effective, in the sense that the resources initially allocated for each activity, supplemented with those additionally leveraged (see Annex 2), were properly utilized to launch a programme for the sound management of POPs in the concerned countries. Moreover, many of the donor institutions also contributed to the project through travel expenses, and the provision of services of their staff.

89. The pilot countries also made significant, although variable, cash and in-kind contributions to the implementation of the project. In-kind contributions consisted mainly of providing office space and equipment, personnel, and transportation. These contributions are especially significant in view of the meagre resources at the disposal of many of the pilot countries, and competing priorities for these resources.

90. Some pilot countries (e.g. Mali, Slovenia and Zambia) also built on earlier initiatives, and especially in terms of making use of available scientific and/or technical information.

3.1.2. Sustainability

91. The development of NIPs for the management of POPs does not necessarily imply sustainability. But it is clear that it is the first step, the seed, for further developments that include elements of sustainability such as problem ownership, civil society engagement and positive signals that the governmental programmes for POPs management, including supporting structures and budget lines, will continue long after GEF stops providing funding.

92. In this respect, the **financial sustainability** of the actions defined in the project is challenging. In principle, commitments from countries to provide basic support for the follow-up actions would be sought as a qualification in the country selection process. However, the reality is that countries that cannot satisfy the basic needs of their citizens cannot afford to digress into environmental management systems. In this case, public institutions, usually constrained by the availability of financial resources, are particularly affected by the low priority given to the environmental protection in the political agenda.

93. Nevertheless, some countries have made great efforts to give continuity to the work initiated with the execution of this project. Chile adopted in 2006 budget lines for the implementation of the NIP with only exceptional support from the World Bank. Efforts are underway in Zambia to incorporate POPs issues in the 6th National Development Plan, thereby ensuring that POPs-related work will be funded in future national budgets. Bulgaria and Slovenia were constrained by the EU directives to allocate resources for POPs management. After the

project, all countries in one way or another have realized that resources need to be committed for POPs management.

94. However, developing countries need continued external donor support to continue and/or follow-up on the project activities. In this respect, some countries have applied for funds with projects for implementing actions foreseen in the NIPs. This is, for instance, the case of Lebanon. Another example is Mali, which is benefitting from the World Bank-funded African Stockpiles Program (ASP) to clean up obsolete pesticides in Africa. There is also a GEF project which will build national capacity to monitor POPs. While this may be relevant at national level for some countries it is difficult to assess the impact regarding the overall implementation of the Convention.

95. The information gathered during the evaluation seems to indicate positive signs with regards to the **socio-political** sustainability of project benefits in most of the countries but the level of commitment and the justifying circumstances vary among them. Among the most committed are Ecuador which has succeeded in including its priorities in the National Environmental Plan and the National Plan for Good Living (2010-2013); in 2009 Ecuador also updated the NIP. Sustainability is ensured in Bulgaria and Slovenia because they need to comply with the EU regulations and in Zambia, for example, the concerned institutions are committed to continuing their work, irrespective of who is in political power.

96. On the other hand, political instability may negatively affect a sustained governmental support to the wise management of POPs and, indirectly, to the compliance of the obligations within the SC. For instance, the Lebanon civil war had a significant impact on the timely development of the project. The situation in Mali is a bit mixed: while there is widespread awareness about POPs, and policies have been changed, significant POPs problems persist in the north of the country, which is not only remote, but has security problems.

97. In terms of **institutional framework and governance**, it is worth mentioning that the project enabled enhancing capacities at the level of governance structures in the 12 countries, and has helped change institutional behaviors. There are evidences that involved stakeholders (both public and private) in most countries acquired a commitment and the technical tools for the compliance of the provisions of the Stockholm Convention.

98. With regards to **environmental** aspects of the sustainability of project benefits, it must be remembered that one of the ultimate objectives of the project is the protection of the human health and the environment. These issues have been widely discussed and disseminated at different levels and will act favourably in supporting sustainability. The small grants programme was a positive contribution, although a greater and continued effort should be made by the countries to raise public awareness of civil society and the political and business domains. There are also issues (e.g. the use of DDT to control malaria and chlordane to control termites or the lack of capacity to monitor POPs emissions) which may pose serious challenges to the sustainability of project results in some countries.

99. In summary, political willingness is the major driver in ensuring sustainability of the process. This fosters legislation and institutional changes and, although under financial constraints, may keep the issue on the environmental policy agenda. Conversely, the lack of ownership and public awareness is a significant barrier to promote or support those changes.

3.1.3. Achievement of outputs and activities

100. The assessment of the project success in producing each of the programmed outputs, both in quantity and quality, as well as the usefulness and timeliness, is also based on the log-frame matrix of the project (Annex 1) and on the different reports provided, substantiated with the corresponding visits and interviews.

101. The evaluation of the attained results is shown in Table 4 which does not include the activities dealing with specific aspects of the project management, which will be discussed later in section 3.1.10 on implementation approach.

Table 4: Summary of attained results of the 12-country projects

Outputs	Verifiable indicators	Evaluation of attained results
National Implementation Plans for the Convention, including prioritised and costed action plans for management and remediation actions.	National Implementation Plans and their associated costs are produced.	All countries produced and delivered their NIPs in time and made them publicly available at the Convention website. Although the supporting information and the preparation process varied between countries, particularly regarding the stakeholder participation, the format and contents were of high quality.
Components/Activities	**Verifiable indicators**	**Evaluation of attained results**
Component 1: Development of National Implementation Plans for POPs Management		
Determination of co-ordinating mechanisms and organisation of process (step 1).	Functional National Co-ordinating Committee; Assignment of responsibilities; Agreed work plan.	This was achieved in all countries, except Lebanon and the Federated States of Micronesia, were the NCC was not really operational, although consultations were arranged case by case.
Establishment of POPs inventory and assessment of national infrastructure and capacity (step 2).	Major sources of POPs in the country and infrastructure are assessed.	The key point was the availability of information. The task team reports indicate that industry and the private sector not only cooperated but also provided key data in several of the pilot countries (e.g. Chile, Ecuador, Lebanon and Zambia's national energy companies participated in the NCC and PCB inventory process).
Priority setting and determination of objectives (step 3).	The national co-ordinating committee agrees on priority chemicals and environmental issues.	Stakeholder cooperation and response was essential in this step. Countries used the inventories as a basis for establishing priorities. Environmental and public health issues were the key factors considered.
Formulation of a NIP, and specific Action Plans on POPs (step 4).	The national co-ordinating committee agrees on the workplan; Task teams are mandated to execute their tasks.	Again, the issue was the cooperation of stakeholders within the NCC and the further endorsement of the proposals by the government agencies or departments.
Endorsement of NIP by stakeholders (step 5).	National stakeholders buy-in to the NIP	With few exceptions, all stakeholders were involved in national implementation plan development through the NCC. Chile and Ecuador used national consultations. However, some countries (e.g. Zambia)

		have not gone beyond the preparation of the NIP, and are yet to attain its formal endorsement.
Support to civil society	Small projects are executed by local NGOs	The practice of pilot countries to working with NGOs is diverse and this was reflected in their commitment in involving the civil society. Six countries out of 12 executed small projects for raising public awareness, in general being highly successful, and resulting in substantial changes in behaviours and/or policies.

102. In general, the activities were properly and adequately implemented. The project was highly successful in producing the anticipated outputs with the necessary technical authority to influence national policy and decision-making.

103. Training sessions or workshops were organized by the project manager, consultants and UNITAR staff that were followed up with reports whereby results could be studied and lessons learned, articulated and collated and transferred to other countries by the various information exchange mechanisms established in the umbrella project.

104. Some countries (e.g. Chile and Ecuador) included in the completion of steps 3 and 4 a national consultation, therefore enhancing the involvement of stakeholders and the civil society.

105. Difficulties were experienced in obtaining a broad view of proper BAT/BEP techniques and performing socio-economic analysis; and in assessing these critically, and presenting their implementation in clear, coherent and cost-effective action plans for incorporation in the NIP. However, Chile was an exception in presenting specific proposals for action.

106. Despite these difficulties or drawbacks, the project finally identified, analysed and established the needs of countries to fulfil the requirements of the Stockholm convention for the sustainable management of POPs.

107. The evaluation, however, observed that given that it has been a long time since the POPs inventories were initially conducted to help prepare the NIPs, there is now need to update them. Furthermore, with the addition of 9 new POPs to the original 12 POPs covered by the Stockholm Convention, there is even more reason to update the POPs inventories done earlier.

3.1.4. Catalytic role

108. The catalytic role in this project refers to the enabling activities, focusing on policy, regulatory frameworks, national priority setting and relevant capacity. As a pilot project it should have been used as a test for replication in other countries but, as mentioned earlier, similar projects were started at the same time worldwide, so the potential catalytic role at this level was significantly reduced.

109. The project, however, played a role at national level in bringing changes in institutional and stakeholder (political, industrial and social) behaviours and contributing to policy changes. There is some evidence that at least eight of the twelve countries have assumed ownership and through internal workshops and training sessions are replicating what they have learned.

The new Constitution of Ecuador makes specific reference to POPs. Bulgaria and Slovenia made a full updating of the POPs related legislation according to the EU Directives. In addition, Mali has introduced new laws banning the importation of POPs, while Zambia has effected profound changes in policies.

110. Moreover, the accomplishment of the goals of the project enabled the sustained follow-on financing of related projects for implementing some of the actions considered in the NIPs. Lebanon, for instance, is developing two demonstration projects for reducing POPs releases while Mali is accessing funding from the ASP. This external funding is indispensable taking into account the amount of resources needed, quantified by the NIPs (e.g. 30M USD in Bulgaria, 11M USD in Ecuador or 32M USD in Malaysia). Nonetheless, Chile is implementing the NIP using national funding.

3.1.5. Monitoring and Evaluation systems

M&E design

111. The project did not set-up a separate monitoring and evaluation plan but had the logical framework and institutional arrangements as basis for M&E. The project did self-assess performance against the project objectives, outcomes and activities with achievement indicators defined in the log-frame which generally fit the SMART criteria (Annex 1).

112. The project document states that the Director of UNEP Chemicals will maintain a systematic overview of the implementation of the project by means of monthly project monitoring meetings or other forms of communication, as well as by regular quarterly progress reports. The Project Steering Group was also supposed to oversee the onsite monitoring and evaluation activities, based on the reports supplied by the partners. However, more frequent meetings would have been beneficial, especially from the perspective of exchange, between project countries, of experiences and lessons learned.

113. Quarterly reports were prepared and submitted but for the last year there had been only semi-annual reports due to huge delays in report submissions from some countries. In general, these were heavily covering the financial issues, and less on appraising outputs and results. Generally, the reporting response situation was as follows:

Barbados: QRs of moderate quality and on time. FR satisfactory.
Bulgaria: QRs of high quality and on time. FR highly satisfactory.
Chile: QRs of high quality and on time. FR highly satisfactory.
Ecuador: QRs of high quality and on time. FR highly satisfactory.
Guinea: QRs are of good quality and on time. FR highly satisfactory.
Lebanon: QRs of moderate quality and usually late. FR satisfactory.
Mali: QRs usually late and incomplete. FR incomplete.
Malaysia: QRs of moderate quality and on time. FR satisfactory.
The Federated States of Micronesia: QRs not satisfactory. FR not submitted.
Papua New Guinea: QRs of poor quality and not always on time. FR not submitted.
Slovenia: QRs of good quality and on time. FR satisfactory.
Zambia: QRs of reasonable quality but not always on time. FR satisfactory.

The outcomes of the national sub-projects, particularly the NIPs, were reviewed by UNEP DGEF.

114. During the project implementation, the Group identified the necessary changes that were easily taken on board (see section 3.1.10). The recommendations formulated by the mid-term evaluation were also taken into account.

M&E plan implementation

115. The evaluation of the overall performance of the project was undertaken within the framework of the Monitoring and Evaluation Programme of the GEF Secretariat, which encompassed half-year reports on substantive and financial matters and an annual GEF Project Implementation Review (PIR) of the project by UNEP Division of GEF Co-ordination. This involved not only an assessment of achievement indicators but also that of risk management based on the assumptions and risks identified in the project document.

116. The Terminal Evaluation has verified that these arrangements and a clear distribution of responsibilities for monitoring project progress facilitated timely tracking of results and progress towards attainment of objectives throughout the project implementation period. Minutes of Steering Group meetings indicate that the information provided by the M&E activities was used to improve project performance and adapt to changing needs. The field visits supported the impression that design, implementation and monitoring of project activities was adequate and timely. However, it is surprising that the terminal reports are still missing for some countries.

Budgeting and funding for M&E activities

117. No specific budget was allocated for the current monitoring of the impact and level of achievement of the different activities undertaken or planned. However, reporting of M&E activities can be considered within the in-kind contribution of UNEP. Meanwhile, the terminal evaluation was budgeted for.

3.1.6. Preparation and readiness

118. The project structure, aligned with other UNEP capacity building projects, was credited with achieving the proposed objectives. The project document identified and properly determined the roles and responsibilities of the different participants. The resources provided by the counterparts, both national and international (funding, staff, and facilities) were efficiently used.

119. The project's objectives and components were clear, practicable but not feasible within its timeframe. As already discussed in other parts of the report, the project needed more than the two-year timeframe of the original design, due to the administrative delays in several countries (particularly in the inception phase) and, more importantly, by the little or no technical capacity to realize the agreed deliverables. From an evaluation perspective, these shortfalls are in no way the result of potential project management deficiencies, but rather, of project design deficiencies.

120. The leading institution (UNEP Chemicals) was properly selected. UNEP Chemicals has managed the process that led to the adoption of the Stockholm Convention on POPs and the project was built on the experience gained through its on-going capacity-building programme and the great number of workshops on POPs awareness rising, on management of POPs, and

other technical issues related to the Convention. The project management was highly efficient, although the changes of project managers within UNEP and all countries, and changes in reporting procedures were disruptive.

121. The contributing partners (donors and implementing/ executing agencies) all had appropriate expertise for implementing the Project. A Steering Group with these representatives was formed to meet annually for providing guidance and advice. The reports of the meetings are very comprehensive.

122. The criteria established for selecting the participant countries did not consider aspects that were relevant to the aims of the project, like a defined level of existing capacity, willingness to comply with the Convention obligations, enabling governance structures, etc. The roles of the different participants were clearly established and agreed through the individual sub-projects. The motivation and awareness in the different activities was variable among partners.

3.1.7. Country ownership/driveness

123. Country ownership, replication/catalytic role and sustainability considerations are related. In 9 out of the 12 countries there was clear evidence of country ownership as evidenced by official declarations, the active engagement of civil society and the built capacity that was integrated into regular budget lines and programming. In these countries the project was relevant to national development of environmental agendas, notably to the SC compliance, because it covered the necessary steps forward (e.g. enhancing knowledge and understanding of national POPs problems and management capacity of POPs).

124. However, initial difficulties in gaining acceptance resulted in delays to the recruitment of the sub-project managers and the nomination of the members of the NCC. Difficulties also appeared in strongly federal countries (e.g. Micronesia), resulting in delays to conform to the management structures (e.g. project manager and coordination committee).

125. Decision-making processes are slow in developing countries, so the direct involvement of relevant stakeholders in the NCC from the start of the project was instrumental in promoting institutional endorsement. Keeping them involved was also a good way to enhance country ownership and gave them the opportunity to be engaged in the sustainability of the project outcomes as it is specifically required by the Stockholm Convention.

3.1.8. Stakeholder participation / public awareness

126. The project was designed, in part, to demonstrate the efficacy of multi-stakeholder processes. In most participating countries the envisaged multi-stakeholder national coordinating committees were created and played their planned role. The process in Chile, Ecuador or Zambia was exemplary as described in detail in Annex 8. However, in a few countries (e.g. Lebanon) this was not the case.

127. Although the Project Document called for the identification and sensitization of national stakeholders, there were no details about how this was to be done. For this reason, different countries went about this activity in their own ways, apparently all effective, because the stakeholder involvement and interaction was positively recognized by the sub-project managers. Their strategies involved convening stakeholders implicated or interested in the

issue of POPs management, at all times striving to maintain a balanced participation between, among others, government, the private sector, academia and civil society.

128. In one case (PNG), the involvement of stakeholders occurred prior to project establishment when an interagency committee was set up to assist in the negotiations of the SC. It is noteworthy that in Chile civil society played a decisive role in decision-making, and in Ecuador and Mali the private sector's participation and ownership was fundamental within the NCC. Mali was unique in achieving the active involvement of women's groups. In few cases, collaboration between stakeholders continued after the completion of the project (e.g. Malaysia, Mali and Slovenia).

129. In general, stakeholders were identified by looking at the roles institutions play, and those doing work pertinent to the project's mandate were selected. Furthermore, there was an advantage in having institutions nominating people to the NCC because this helped get the right people, and facilitated data collection because the project did not have to go to the institutions to get information. Indeed, a major lesson learned from involving stakeholders is that providing them information and building their capacities makes them more effective in their roles as project participants.

130. In any case, the problem of achieving stakeholder participation often lies with the national Governments. Therefore, this needs to be taken into account in identifying suitable countries for future pilot project participation. Moreover, if stakeholders need to be engaged from the beginning, a specific strategy should be considered in the project design. This should give the managers the opportunity to determine the stakeholders that need to be engaged, in advance of the project starting, and to bring them all together and encourage them to work together.

131. Unfortunately, only half of the countries developed specific activities for enhancing public awareness. The outreached materials were valuable and could be used in following information programs addressed to the public or involving civil society. Furthermore, the use of radio and TV proved very effective in African countries such as Mali and Zambia. In Mali, for example, the project has helped increase awareness on harmful practices such as burning of solid wastes, which result in emissions of POPs. Some countries (e.g. Slovenia and Mali) continue with these initiatives to enhance public awareness.

132. Finally, the availability of all information in dedicated websites may not only contribute to the diffusion of the results but also to the further stakeholder participation. In this respect, the continued updating of the content is imperative. In the same vein, consideration should be given to the possibility of adding discussion forums to the websites.

3.1.9. Financial planning

133. The financial aspects of the project were handled in duplicate by the UNEP Offices in Geneva and Nairobi. This procedure contributed to the transparent and reliable control of the finances but also increased the bureaucracy and added a burden on the project management. In one case (Lebanon) a third Agency was involved (UNDP), resulting in further delays in payments.

134. The financial controls, including reporting and planning, seem to have been useful enough to help the project management make the appropriate decisions regarding the budget, and allow for a proper flow of funds. The problem was the time required to collect country signatures for the sub-projects to allow the initial disbursements to be made.

135. The mid-term evaluation noticed that the average time-period of disbursements of subproject funds from UNEP for the 12 countries was, on average, within four weeks following signature. This was good enough as funds generally arrived in advance of planned expenditures. As shown in Table 5, the budget expenditure was around 90% of the initial budget.

Table 5: Budgets and expenditures for project countries

Country	Initial budget	Additional	Small grant	Total	Executed	% executed
Barbados	290,000	-	-	290,000	223,119.30	76.94
Bulgaria	317,000	143,820	19,700	480,520	480,406.46	99.98
Chile	465,000	54,000	14,000	533,000	532,752.06	99.95
Ecuador	414,000	45,000	49,820	508,820	508,820.00	100
Guinea	286,000	75,001	25,000	386,000	386,000.00	100
Lebanon	353,000	-	-	353,000	215,582.70	61.07
Malaysia	418,000	-	-	418,000	365,975.19	87.55
Mali	290,000	88,450	19,700	398,150	340,485.00	85.52
Micronesia	389,000	-	-	389,000	?	?
Papua New Guinea	306,000	-	24,950	330,950	294,107.36	88.87
Slovenia	190,000	-	-	190,000	131,327.05	69.12
Zambia	371,000	58,738	-	429,738	383,409.89	89.22
Global	4,089,000	465,009	153,170	4,707,179	?	?

136. The major incidences were due to the unrealistic character of the initial budget, aggravated by the extension of the implementation period. In December 2003, the countries with suitable progress were requested to identify their needs for supplementary GEF funds in line with paragraph 51 of the project document. Based on all the requests received, the project manager prepared a supplementary fund needs and reallocation proposal from the umbrella budget from lines that would not be needed or were not expected to be exhausted. These funds could be made available to the countries to diminish the need for further GEF co-financing. Proposals for supplementary funding from 6 countries were approved. Later, a number of small adjustments were carried out and in 2005 additional funds were requested to finalize some planned activities.

137. Requests for adjustments and reallocations were responded to with rapidity. However, there has been a trouble with respect to financial management. It is not a suitable practice to hold the project manager accountable for total project management without giving him/her authority to manage funds or, even worse, without access on-line to the current state of the project budget. Perhaps it could have been better that all financial communications should be with the financial management office and not with the project manager.
138. A summary of the co-finance information, including leveraged resources and project expenditure by activity is presented in Annex 2. These data have been reviewed with UNEP staff and there have been no indications that they were not managed soundly. In his respect, the accounts and records have been maintained properly; all project expenditures have been supported by vouchers and adequate documentation; and, expenditures were in accordance with the objectives outlined in the project document. However, final accounting and audit certificates have not been provided by some countries.

3.1.10. Implementation approach

139. The project was originally conceived as a pilot exercise in 12 countries for enabling tools and approaches to be used in launching the process of developing national implementation plans worldwide. However, as mentioned earlier, this objective was no more valid when GEF started to support a large number of eligible countries almost simultaneously with the pilot project. Therefore, this section refers only to the implementation of the 12-country subprojects.

140. UNEP/DGEF was responsible for the execution of the project in accordance with the objectives and activities outlined in the proposal and ensured consistency with GEF and UNEP policies and procedures. Problems encountered have arisen more from architectural flaws in project design (e.g. selection of participating countries, time needed for signing, timeline for delivering, budgeting, etc.) than from any observable shortfalls in project management or implementation.

141. A Steering Group, initially composed of UNEP Chemicals, UNEP GEF Coordination Office, the other GEF Implementing Agencies (UNDP and the World Bank), FAO, UNIDO, UNITAR, the Secretariat of the Basel Convention, the major donors to the project, environmental NGOs and industry representatives (International Chlorine Chemistry Council), provided guidance and assistance. However, attendance was limited to the direct involved Agencies (UNEP, UNEP/DGEF, UNITAR, the Stockholm Convention Secretariat and the international donors). The National Coordinators were also invited to the Steering Group meetings to facilitate experience sharing and discuss and resolve difficulties.

142. The national coordination committees and working groups delineated in the proposal played a key role in ten of the countries to ensure multi-stakeholder interactions and social participation. The project management was effective (based on feedback from the countries) as well as *in situ* observations by the evaluators. The project manager was available and offered to assist as needed at the country level.

143. The prioritized, endorsed and cost-characterized national implementation plans, with proper stakeholder involvement and public participation based on appropriate preliminary POPs inventories, needed more than the two-year timeframe of the original design, especially considering the delays in several countries, resulting from the exigencies associated with the design and implementation of such a knowledge-demanding project. However, the management was able to adapt to these circumstances and the overall approach was effectively and successfully implemented in almost all countries.

3.1.11. UNEP Supervision and backstopping

144. The Project was loosely monitored by the Steering Group but the concerned unit in UNEP/GEF, and particularly the Project managers, provided an efficient supervision and administrative and financial support, responding in a timely manner to questions from the countries and providing expertise as requested.

145. Despite the initial difficulties in launching the project due to a variety of country-specific reasons, no operational and/or technical problems and constraints influencing the effective implementation of the different project steps were identified. All relevant documents and reports substantiate this efficient supervision and backstopping.

146. The initial project manager coordinated and provided liaison and technical assistance and facilitated peer reviewers as needed by the countries. Their presentations in the national and regional meetings were outstanding. She was a link between the national coordinating committees through the country subproject managers and as the secretary of the Steering Group she kept the Group appraised of all major events, issues, problems and progress.

147. Unfortunately, the long duration of the project did not allow her contract to be extended until the project completion. The management was subsequently transferred to different UNEP Units, in Nairobi and Geneva, and this affected the adequate review/clearance of outputs. At present, some national terminal reports, including budget expenditures, are still missing.

3.1.12. Complementarity with UNEP medium term strategy and programme of work

148. The UNEP Medium Term Strategy (MTS) specifies desired results in six priority areas, one of these being *Harmful substances and hazardous waste*, with the aim of minimizing their impact on the environment and human beings. In this respect, UNEP Chemicals managed the process that led to the adoption of the Stockholm Convention on POPs and the present project was designed to assist countries in increasing their capacities for sound management of these hazardous substances.

149. According to the MTS, the expected accomplishments in this area are:
    a) coherent international policy and technical advice, provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner; and
    b) appropriate policy and control systems for harmful substances of global concern, developed in line with States' international obligations.

    It is apparent that the project is specifically targeted to achieve these objectives.

150. Finally, the means of implementation and institutional mechanisms supporting the achievement of the project objectives are also consistent with those described in the UNEP MTS. These include collaborative undertakings with other relevant actors from civil society and the private sector, in-line with the *Bali Strategic Plan* (BSP) for capacity-building and technology support.

151. The BSP emphasizes the principle of national ownership and this constitutes an integral part of the pilot programme. The program was built on the UNEP experience gained through the on-going capacity-building programme and the strength in catalysing multi-stakeholder processes to bring Governments, business and civil society together to develop and improve the implementation of legislative measures relevant to environment and corporate practices.

3.2. Umbrella project

3.2.1. Attainment of objectives and planned results

152. The umbrella project satisfactorily achieved the anticipated results identified in the project log-frame as it is summarized in Table 6. However, as was already the case for the 12-countries subproject, the overall objectives and achievement indicators, described in the following table, were not properly formulated in the sense that they were hardly verifiable.

Table 6. Evaluation of the objectives and outcomes of the umbrella project

Overall objectives	Verifiable indicators	Evaluation of attained results
Faster and easier development of NIPs for other countries using the guidelines	Other countries and GEF agencies refer to the guidelines	The guidelines were produced, in most cases, in a timely manner and provided the structural framework for producing the NIPs as evidenced by feedback from the country participants, but it is difficult to extrapolate its use to the non-participant countries.
Other countries are encouraged to sign and ratify the POPs Convention	Increased number of countries sign and/or ratify the Convention	Although the project raised awareness of the importance of the SC, it is difficult to assess what would have happened without this project. It seems that the signature and ratification of the Convention is independent of the launching of the project. There is the example of Malaysia that participated in the project and has not yet ratified the Convention.

153. There is no doubt about the **effectiveness** of the umbrella project. Certain elements, notably the guidance documents, have assisted and will continue to assist each of the twelve countries to develop their NIPs and foster their commitment on the POPs management. There is also little doubt that the additional documentation prepared by UNEP (e.g. lessons learned) and the advice provided by UNITAR were and will be very helpful. However, how many countries, besides the 12-pilot, and to what degree these materials assisted them in the SC compliance can not be precisely determined.

154. The supposed cross-fertilization (exchange of experiences/benefits) to be generated by the project could also be less than originally anticipated by the uncoupled timelines of the different activities. The degree to which the project has accelerated ratifications is also a question subject to speculation. Nonetheless, the project has been highly **relevant**, in an enabling context, for the participating countries.

155. In general, the umbrella project was **efficient** (cost-effective), although the planned activities were not always in time and some of them (e.g. the sub-regional consultations) could be improved. In any case, the guidance documents as well as the regional activities were relevant for the success of the project.

156. Despite of the weaknesses observed during the implementation of the Umbrella project, mainly related to the uncoupled timelines of the different activities, it is evident that the materials produced and the undertaken participatory process for the discussion of guidelines and exchange of experiences among countries, had a positive impact for strengthening the worldwide implementation of the POPs Convention.

157. The availability of guidance documents to decision-makers, environmental managers and industry will contribute to foster the institutional and legal frameworks, policies and governance structures of the countries signatory of the SC, aiming at improving decisions relating to the management of POPs

158. A general scheme of the impact pathways, using the ROtI method, is shown in Figure 3. The analysis of these impacts points to that they will highly likely occur (Table 7).

Figure 3: General outline of the impact pathway for the Umbrella project component.

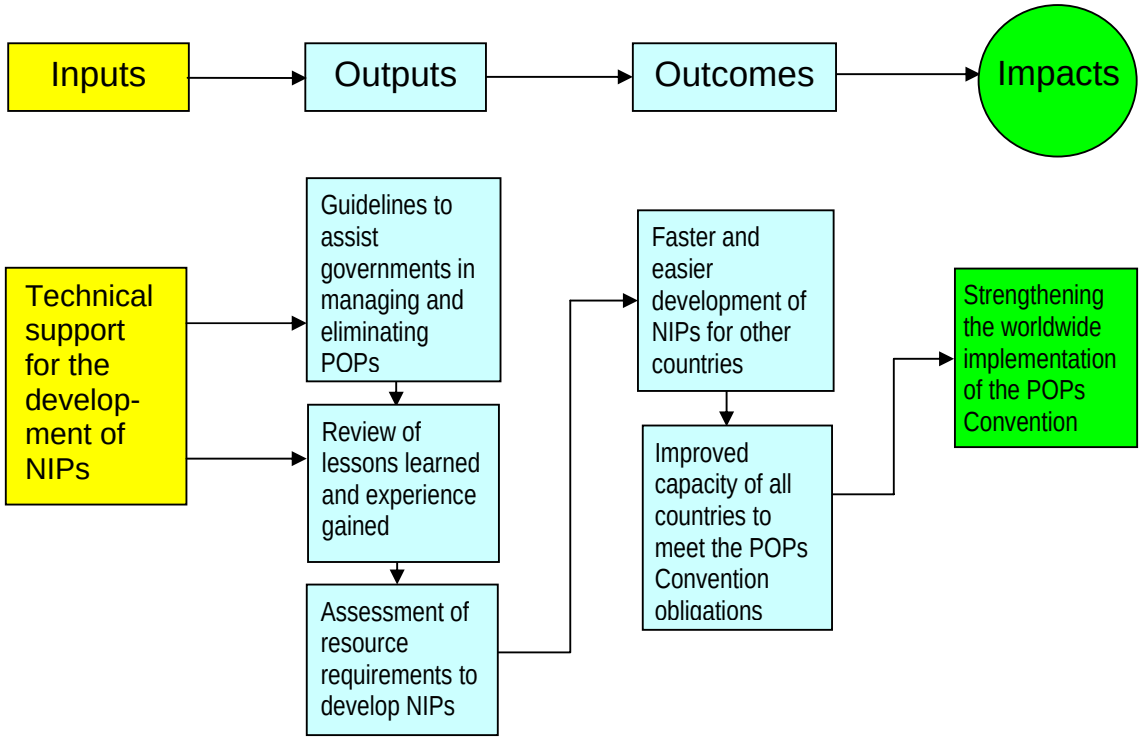


Table 7: Review of outcomes to impacts (ROtI analysis) for the Umbrella project component

Outcomes	Rating	Intermediate	Rating	Impact	Rating	Overall*
1. Faster and easier development of NIPs for other countries	B	1. Consolidation of international guidelines for POPs management, involving an extensive process of sub-regional consultations and sharing of experiences among countries.	A	1. Strengthening the worldwide implementation of the POPs Convention	+	BA+
2. Improved capacity of all countries to meet the POPs Convention obligations		2. Lessons and experience from the pilot countries assessed and integrated with the initial guidelines				
3. Other countries are encouraged to sign and ratify the POPs Convention		3. Fostering institutional and legal frameworks, policies and governance structures of the participant countries				
Rating justification		**Rating justification**		**Rating justification**		
The Project's intended outcomes were successfully delivered, and feed into a continuing process, but with no clear allocation of responsibilities after the end of the Project.		Progress to intermediate states has produced results driving the outcomes to decision-making during and after the project, as availability of updated guidance documents and technical support is ensured by UNEP.		There is evidence that the availability of a well founded body of guiding documents for POPs management will have an impact beyond the life of the Project.		

*see Annex 3 (page 103) for the interpretation of the ratings.

3.2.2 Sustainability

159. In the context of the umbrella project, sustainability could be understood as the continued availability of updated guidance documents. Although not foreseen in the project document, the agencies that shared and lent their expertise to the creation of the various documents and other assistance products are likely committed to continue performing this task. In this respect, there should be no major problem in getting the financial resources within the internal programming of UNEP.

160. The documents also contain hyperlinks back to the agencies which will expand both the assistance provided and the public audience, and thus enhance public/stakeholder awareness and the socio-political conditions for sustainability.

161. The implementation of the SC should facilitate the sustainability of project outcomes/benefits. The guidance documents elaborated by the umbrella project will support the reporting requirements of the Convention and consequently foster the institutional and legal frameworks, policies and governance structures of the participant countries.

162. The environmental benefits of the umbrella project are obvious and are not at risk because they will continue to be enjoyed in the context of the implementation of the SC.

3.2.3 Achievement of outputs and activities

163. The major outputs and activities identified in the umbrella project document were: development of national implementation plan guidelines, provision of international and regional coordination and project management.

164. In addition, UNEP Chemicals provided: exchange of experience activities; provision of information, training and consultations; technical literature, personal technical guidance; coordination of information exchange among the countries; organization of steering group meetings; peer reviewers as needed by the countries; assistance to pilot countries in planning their work; timely liaison and information transfer to the steering group; website maintenance; and finally, ongoing collection and synthesis of lessons learned and good practices in the development of NIPs that other countries can benefit, through several regional fact-finding missions and dedicated workshops.

165. The evaluation of the success of these activities in producing each of the programmed outputs, both in quantity and quality, as well as the usefulness and timeliness of these outputs, is based on the log-frame matrix of the project (Annex 1) and on the different reports provided.

166. The following table summarizes and assesses the attained results.

Table 8: Summary of attained results of the umbrella project

Outputs	Verifiable indicators	Evaluation of attained results
Generic and technical guidelines for NIP development and managing/eliminating POPs are available to all	Compilations of methodologies and guidelines are made available	All guidelines are available from the POPs web page (in all United Nations languages). The focal points for the Stockholm Convention and the national coordinator of the subprojects also

Outputs	Verifiable indicators	Evaluation of attained results
countries		received copies that were expected to be distributed. Every regional meeting had a presentation on the NIPs document and the associated guidelines.
Components/ Activities	**Verifiable indicators**	**Evaluation of attained results**
Component 2: Development of Global Guidelines for National Implementation Plans		
Review of lessons learned and experience gained / consolidation of guidelines	Lessons and experience from the pilot countries are assessed and integrated with the initial guidelines.	These guidelines were prepared in a wide participatory process and distributed. The guidance documents should be updated routinely in the light of lessons learned. This was to be evidenced by expert meetings reports and publication of global guidelines.
Assessment of resource requirements to develop NIPs	Average "cost norms" for NIPs development are produced	This document was highly appreciated by the pilot countries but, unfortunately, not delivered in time.
Compilation and review of existing methodologies	Methodology and guidelines from various international organisations and development agencies are identified and compiled.	This was done (WB, UNITAR and FAO were major contributors) and an initial set of guidelines were provided to pilot project countries at the start of the project.
Component 3: Dissemination and Sub-regional Consultations		
Sub-regional consultations	Neighbouring countries share experience with the pilot countries.	UNEP has a large experience in organizing subregional workshops on POPs related issues. Seven regional workshops to share experience were organized and attended by participants from 98 countries.
Dissemination	Results are disseminated widely at the national level, including to the public, decision-makers, managers, industry and NGOs; Results are disseminated widely at the global level, including progress reports to meetings of the INC, and at the COP.	Relevant documents and reports were disseminated by printed and electronic publications that were widely distributed. All countries developed specific websites. The issue was whether targeted communication activities influenced people's perceptions. This could only be evaluated by opinion surveys to measure attitudinal shifts (before and after awareness programming).
Component 4: Project Co-ordination and Management		
	Setting-up national co-ordinating committees; Hiring of national co-ordinators; Hiring of project manager;	There was a diversity of situations in the 12 countries regarding setting-up committees or selection of personnel that, in some cases, delayed actions. In general, the procurement procedures

Outputs	Verifiable indicators	Evaluation of attained results
	Meetings of the Steering Committee.	and issuance of contracts was properly done. Project management, with the exception of some aspects of management of financial resources (e.g. bureaucratic delays in disbursements), was in general excellent according to the comments received from the country participants interviewed.

167. All these deliverables were completed via the different project managers with an excellent proficiency. The guidance documents prepared and distributed during the project to facilitate the production of national implementation plans were of excellent quality. They were responsive to the needs of developing countries and praised by all participants. However, some modifications were claimed for a better adaptation to the social, political and economic environment of each country/region. The Guide for Socio-economic Assessment was considered too broad and too demanding for the limited funds directed for this topic. A summary of these outputs is given in Table 9.

168. The only drawback was that they would have been even more beneficial if produced sooner. This timing problem had more to do with the Global Environment Facility enabling grant announcement too early in the process, rather than with tardiness of UNEP Chemicals.

169. Unfortunately, two guidelines for the evaluation of costs of developing the NIPs (cost-norms) and on the financial and technical assistance needed to implement the plans that were mandated to the Secretariat were not delivered, and the project had to continue without them.

170. Again, there were problems noted with respect to the timing of training and workshops which were convened later than desired by some but this again was due to the project delays described above, that were beyond the control of the project manager.

171. The aim of the dissemination and consultations component was redefined when all eligible countries were enabling the development of their NIPs. In this respect, the Steering Group considered the planned fact-finding missions not necessary as originally envisaged and recommended missions to 22 countries tied to the lessons learned exercise. However, the corresponding reports are of rather limited value and this evaluation panel considers that these missions may not have been developed, even in this format.

Table 9. Summary of achievements of the Umbrella Component of the Project

Component 2: Development of Global Guidelines			
Activity	**What achieved**	**Who**	**Comments**
Compilation and expansion of methodologies	Identification, classification and inventory methodologies for PCBs & Pesticides	UNEP + FAO	Completed and published
	Standardized toolkit for the identification and quantification of dioxin and furan releases	UNEP	1st edition released May 2003, Edition 2.1 Dec 2005, presented to COP, development and refinement continues
	Guidance for Socio-Economic Assessment for National Implementation Plan Development and Implementation under the Stockholm Convention	UNEP	Completed end 2005, and presented to COP. Informal trial in Argentina and Costa Rica.
Evaluation of existing management options	PCB management manuals PCB global meeting	Basel Secretariat, UNEP,	Completed PCB global meeting held June 2004
Development of tools for priority setting and action planning	Guidance on Action Plan Development for Sound Chemicals Management	UNITAR/ UNEP	Published by UNITAR and implemented via GEF MSP to assist action planning in 40 LDCs Complementary guidance in preparation
	Decision Trees to assist with the implementation of the Stockholm Convention	UNEP /UNITAR	1st draft edition completed end 2004, translation into languages and used during action plan training
Reviews of lessons learned and consolidation of guidelines for NIP development	Guidance for developing a National Implementation Plan for the Stockholm Convention	UNEP	Completed, presented to INCs and COP1, supplementary guidance integrating Rotterdam Convention obligations presented to COP2
	Global report of lessons learned and good practices in NIP development	UNEP	Launched at GEF-sponsored side event during COP2, May 2006, Available from the Convention website in all languages

172. Thirty-five regional and/or national workshops or training activities were held under the coordination or organization of the umbrella project manager. Of these 35, seven were regional meetings to share lessons learned. These meetings were attended by the national coordinators and high level government officials, technical officials and non-governmental organizations. A total of 98 GEF recipient countries participated in these meetings to share experiences in the implementation of NIPs. A summary of this extensive participatory activity, combined with a communications strategy is shown in Table 10.

Table 10. Summary of achievements of the Umbrella Component of the Project

Component 3: Dissemination and subregional consultations			
Activity	**What achieved**	**Who**	**Comments**
22 Sub-regional consultations (end step 2 + end step 4)	35 national and regional workshops to June 2004	UNEP	MTR reported 90 countries participated up to that time.
	7 regional workshops as part of lessons learned	UNEP	Completed Q1 2006, 98 countries participated Results published in Global Report of lessons learned and good practices in NIP development
Fact-finding exercises to assess national problems related to POPs	Fact-finding missions to 22 countries as part of lessons learned	Non-participating GEF eligible countries + some participants	1st SG considered missions not necessary as originally envisaged in project document 2nd SG recommended missions tied to lessons learned exercise
Communications and dissemination	Communications strategy	UNEP	Strategy developed and disseminated
	Overall project results + guidelines	COP1	Para 33 of the project document indicates intention to submit project results to COP1. This was not possible because of project delays and proved unnecessary with other GEF enabling activities approvals Global report of lessons learned and good practices launched at GEF-sponsored side event during COP2, May 2006

173. The compilation of lessons learned in the development of NIPs and the identification of good practices, although not finally serving to transfer experiences from the 12 pilot countries to all others, because a large number of them gained approval for enabling activities much earlier than had been anticipated, remained as an outstanding participatory exercise. The document encompasses an inventory of issues and possible solutions to be taken into account by GEF and its agencies as well as by the Conference of the Parties on the needs of future developments.

174. As far as project co-ordination and management is concerned, the tools identified in the project documents (e.g. logical framework analysis, performance indicators) and the structures put into operation (e.g. steering group) were effective and no further observations or recommendations in this regard are warranted.

175. The extension of the project to enable the accomplishment of the main objectives forced to adapt, over time, the management structure. Thus, the responsibilities were assigned to UNEP Chemicals until mid 2004, to UNEP DGEF project manager to mid 2005 and to UNEP DGEF task managers from mid-2005 until the end in December 2006. Specific aspects of the project management will be discussed in section 3.2.10.

176. The results to date of the umbrella project, and particularly the guidelines reflecting the experience acquired through the project, were to be made available to the COPs meeting in order to inform the debates regarding reporting requirements and timeframe. In fact, it was presented as a "living document" that will be periodically updated based on lessons learned.

3.2.4. Catalytic role

177. The umbrella project did not directly catalyze changes in stakeholder behaviours or in policy or institutional undertakings. However, it played a catalytic role in supporting the creation of an enabling environment, and supporting activities that upscale new approaches to national level, indirectly attaining global environmental benefits. Without the Project the development and implementation of NIPs would not have produced the results achieved.

3.2.5. Monitoring and Evaluation systems

M&E design

178. The project did not set-up a separate monitoring and evaluation plan but had the logical framework and institutional arrangements as basis for M&E. The project did self-assess performance against the project objectives, outcomes and activities with achievement indicators defined in the Log-frame which generally fit the SMART criteria (Annex 1). The necessary baseline information for this assessment was available and adequate.

179. The project document states that the Director of UNEP Chemicals will maintain a systematic overview of the implementation of the project by means of monthly project monitoring meetings or other forms of communication, as well as by regular quarterly progress reports. The Project Steering Group was also supposed to oversee the onsite monitoring and evaluation activities, based on the reports supplied by the partners.

180. During the project implementation, the Group identified the necessary changes that were easily taken on board. The recommendations formulated by the mid-term evaluation were also taken into account.

M&E plan implementation

181. The performances of all activities, in accordance with the work plan, were evaluated within the framework of the Monitoring and Evaluation Programme of the GEF Secretariat, which encompassed half-year reports on substantive and financial matters and an annual GEF Project Implementation Review (PIR) of the project by UNEP Chemicals, with the assistance from the UNEP Division of GEF Co-ordination. This involved not only an assessment of achievement indicators but also that of risk management based on the assumptions and risks identified in the project document. The reports presented at the SG meetings were of very good quality.

182. The Terminal Evaluation has verified that these arrangements and a clear distribution of responsibilities for monitoring project progress facilitated timely tracking of results and progress towards objectives throughout the project implementation period. The Minutes of Steering Group meetings convey that the information provided by the M&E activities was used to improve project performance and to adapt to changing needs. The rating given to this activity denotes that the level of effort in this regard exceeded normal expectations.

Budgeting and funding for M&E activities

183. No specific budget was allocated for the current monitoring of the impact and level of achievement of the different activities undertaken or planned. However, reporting of M&E activities can be considered within the in-kind contribution of UNEP. Meanwhile, the terminal evaluation was budgeted for.

3.2.6. Preparation and readiness

184. The UNEP Chemicals unit is the chair of the inter-organization programme for the sound management of chemicals. In particular, it has a central role in the implementation of the POPs Convention by developing capacity building programs and delivering instruments, like the POPs Global Monitoring System. The present project was built on previous initiatives already chaired by UNEP like the GEF funded projects "*Regionally based assessment of persistent toxic substances*" and "*Assessment of Existing Capacity and Capacity Building Needs to Analyse POPs in Developing Countries*".

185. Although the project activities were to be carried out mainly at the national level, there was a recognized need to provide assistance to the pilot countries and at the same time ensure the smooth organization of training and other capacity building activities. Therefore, the umbrella project incorporated components 2 and 3 on "*Development of Global Guidelines for National Implementation Plans*" and "*Dissemination and Sub-regional Consultations*". The objectives of these activities and the assignment of responsibilities were clear and feasible, although in some cases (e.g. development of cost-norms) the delivery was out of schedule.

186. Relevant agencies made significant contributions to the umbrella project in their fields of expertise, notably UNITAR, for training pilot project countries with the development of their national profiles, the World Bank, for the development of the NIP guidance document, and

UNDP as financial intermediary for some countries. FAO also provided training at the workshops.

3.2.7. Country ownership/driveness

187. As also mentioned in assessing the catalytic role (see above), the umbrella component of the pilot project indirectly catalyzed action in participating countries to improve decisions relating to the management of POPs. In this respect, it generated the background information necessary for enabling the country commitment and driving the outcomes to decision-making during and after the project.

3.2.8. Stakeholder participation / public awareness

188. The project was intended to make full use of the expertise and products already available in various agencies. UNEP Chemicals had the responsibility of incorporating them in the Steering Group of the project and an adequate selection was made. Thus, several UN agencies (e.g. UNEP GEF coordination office, UNDP, FAO, UNIDO, UNITAR), the secretariat of the Basel Convention, the World Bank, national donor agencies, environmental NGOs and industry representatives were invited.

189. UNITAR, under contract to UNEP Chemicals, took a lead on assisting pilot project countries with the development of their national profiles and the World Bank contributed extensively to the development of the national implementation plan guidance document. UNDP played the financial intermediary role for some countries. Unfortunately, the implication of other UN Agencies in the management bodies (e.g. the Steering Group) of the project was weak and the participation of industry and NGOs was missing.

190. An important component of the umbrella project was raising public awareness. To this end, communicating appropriately is an essential and very challenging task. The public can be the primary target of communication as it is often unfamiliar with the approaches used to assess hazards and risks posed by POPs. The project manager developed and implemented a communication strategy to enhance public awareness. This strategy, that was a good technical document, was prepared and endorsed by the SG in June 2003 but their provisions were scarcely implemented.

191. The results of the overall project, and particularly the guidelines which contain the wealth of experience acquired through the project, as well as the NIPs, were widely disseminated. They were made available to the COPs meeting. UNEP Chemicals also produced an easy to use webpage on POPs that both enables and facilitates knowledge improvement and exchange of experiences. The supervision and maintenance of the project web-site is essential for contributing to improve the knowledge management of the POPs issue, in liaising with potential organizations, institutions and individuals that could be interested in future activities.

3.2.9. Financial planning

192. The original umbrella project budget overall was $2,428,000 of which GEF provided $1,976,000 and the remaining $452,000 were provided by bilateral donors, Swedish, Swiss and German governments. The staff assigned to this budget was primarily the project manager, and to a limited degree, oversight provided the deputy director and to a lesser degree, the branch director.

193. During implementation an additional approximately $1,100,000 was provided to the umbrella budget as direct and indirect co-financing. $136,000 was raised through direct cash contributions from UNIDO, World Chemical Council, FAO, the Canada POPs Fund and the German Government. In addition, the indirect contribution (regional workshops/training sessions, co-financing of the POPs fund and World Bank financing almost all of the national implementation plan guidance document development and translations) was about $1 million. The overhead for management (salary charged via this budget) was about $139,000 per year, which appears to be low in the context of the outreach provided and when considering the level of effort and quality of results achieved to date.

194. The original shortfall of $131,000 in the umbrella financing was not only made up but superseded as $136,000 was provided by the private sector (World Chemical Council) and international and bilateral donors (UNIDO, FAO, Germany and Canadian POPs funds). UNEP Chemicals cofinanced the project's regional meetings budget line by about $500,000 through the several regional POPs inventory and action plan training sessions provided for the pilot project countries or hosted by the pilot project countries.

195. A summary of the co-finance information, including leveraged resources and project expenditure by activity is presented in Annex 2. These data have been reviewed with UNEP staff and there have been no indications that they were not managed soundly. In his respect, the accounts and records have been maintained properly; all project expenditures were supported by vouchers and adequate documentation; and, expenditures have been incurred in accordance with the objectives outlined in the project document.

3.2.10. Implementation approach

196. The global project was implemented according to the GEF and UNEP policies and procedures. The relative importance of the umbrella project, as a vehicle for learning lessons and creating guidance, increased when funding of countries for the preparation of NIPs was generalized.

197. UNEP Chemicals created the Steering Group to ensure the participation of the institutional stakeholders in the follow-up of the project. This Steering Group identified the characteristics which needed to be represented in the group of participating countries, promoted buy-in to the project from the organizations involved and co-ordinated with other projects to avoid duplication and overlap. The reports of the meetings were comprehensive, reflecting the strengths and limitations of the implementation process.

198. The project management team demonstrated flexibility, adaptability and responsiveness. For example, the project expected to create the guidance and rationale for the 12-country national implementation plan pilot project which was to follow. This advance work took much more than expected and not always was delivered in time. However, this delay did not significantly affect the pilot component of the project.

199. Overall, the umbrella project was executed reasonably according to the plans. Supervision and administrative and financial support by UNEP was effectively and efficiently implemented.

3.2.11. UNEP Supervision and backstopping

200. The umbrella project was monitored by the Steering Group but the concerned unit in UNEP/GEF, and particularly the Project manager, provided efficient supervision and administrative and financial support, resolving in a timely manner the occurring incidences. There is no evidence that there were any perceived shortfalls that could influence the effective implementation of the project. Furthermore, the quality of the service provided by the project manager is on record and was verified during country interviews. However, the different delays and extensions of the project and the leaving of the manager before the end reduced its cost-efficiency.

201. The different project managers coordinated the development of global guidelines and looked after the peer reviews. In addition, provided liaison and technical assistance to the sub-regional consultations and set down a communication strategy for the project. As the secretary of the Steering Group she kept the Group informed of all major events, issues, problems and progress.

3.2.12. Complementarity with UNEP medium term strategy and programme of work

202. The UNEP Medium Term Strategy specifies as one of its objectives the minimization of the impact of harmful substances and hazardous waste on the environment and human beings. In this respect, UNEP Chemicals has provided strong support to the adoption and development of the Stockholm Convention on POPs and the present project is specifically targeted to strengthen its implementation.

203. The MTS also indicates that environmental action will be achieved, among others, through awareness-raising, outreach and communications, including education and training, all of which will be integral to delivering on this priority area. The corresponding outputs and products will be conveyed in particular through the UNEP corporate website, annual reports and other publications. Civil society will also be engaged to assist with UNEP outreach efforts.

204. In line with the approaches of the MTS, the umbrella project is clearly targeted to enhance knowledge in the area by providing methodologies and guidelines for developing the national implementation plans for the management of persistent organic pollutants, disseminating substantive issues of general interest to enhance public awareness, and sharing experiences and best practices by means of sub-regional consultations.

4. Conclusions and ratings

205. Based on all the above and the assessment of project performance and impact made by the participant countries, the following general conclusions can be drawn:

i) The project management and the UNEP backstopping, particularly during the first period of the project (2002-2004), were considered outstanding. They showed great flexibility and adaptability. However, there have been several complains about the financial management of the project. These relate to a certain duplication roles of UNEP and UNDP as implementing agencies, together with the division of responsibilities between Geneva and Nairobi. Other governance structures put in place appeared to have worked well. The monitoring mechanisms also worked well although a closer and more effective surveillance would have been helpful during the second period (2004-2007) because the terminal reports of different countries are poor or even not yet submitted.

ii) The performance indicators of the project log-frame have been assessed considering the enabling nature of the project and the adaptations made by the countries. The conclusion is that the initial objectives of the global project, primarily the preparation of guidance documents and the completion of NIPs, were satisfactorily accomplished, and in some cases expectations were exceeded. It was, however, not possible to assess the long term objectives (e.g. reduction of releases of POPs or adverse human health incidents), although the project was effective in creating national capacities toward achieving these.

iii) The project built the management capacity of target countries in handling POPs issues. It clearly provided the tools and technical assistance to countries so that they were able to prepare their national implementation plans, and respond to obligations derived from the ratification of the Convention. As an enabling project, it was thus highly successful.

iv) The guidance documents and training activities were of excellent quality, and responsive to the needs of developing countries. The only drawback was that the guidelines would have been even more beneficial if produced sooner, like the one for the socio-economic assessment that was issued when the project was over. The countries also recognized the limitations of certain methodologies (e.g. for the preparation of POPs emission inventories) and the need for adaptation or updating according to the specificities of the countries/regions.

v) For various reasons, the accomplishment of some steps required more time than foreseen, a question that should be better considered when designing projects involving countries with different capacities. The completion date, far beyond the one originally envisaged, reduced the project's benefits as a model to be followed in the global context.

vi) The large attendance of project workshops, with participants from almost 100 countries, and the way in which they were organized (by regions and working groups with targeted issues to discuss) enabled to exchange of experiences, and proper identification of the needs and requirements of countries to manage POPs, and comply with the Convention. This kind of activity should, in a certain way, be continued to assess progress and update knowledge. Institutional arrangements need to be established to secure this.

vii) The outreach materials and the small grant projects have been cost-effective not only in contributing to the diffusion of results and increasing public awareness, but also in encouraging stakeholder participation. Unfortunately, not all countries were involved in these activities. The project document should probably have made a direct reference to the need for the social participation in the process.

viii) Although the project envisaged the active participation of stakeholders, this has been very irregular, both at global and national levels. Ten of the twelve countries used the multi-stakeholder approach to varying degrees, and project performance clearly benefited from this. However, participation in Steering Groups has been very weak. This issue needs to be better addressed in future projects, even for the selection of participant countries.

ix) The sustainability of the project outcomes is a challenging issue. Political willingness is the major driver in ensuring sustainability of the process. This fosters legislation and institutional changes and, even under financial constraints, may keep the issue on the environmental policy agenda. Conversely, the lack of ownership and public awareness is a significant barrier to promote or support those changes..

x) The catalytic role of the project to instrument changes has been limited. External factors, like legislation to be enforced (e.g. EU directives for Slovenia and Bulgaria) or, conversely, the weak participatory framework and lack of funding capacity (e.g. Lebanon, Micronesia, Mali, and Zambia) have been the main conditioning factors, in the positive and negative senses, respectively.

xi) The implementation of NIPs may foster governmental policies regarding POPs on compliance of the Convention but this will greatly depend on continued international support for the necessary investments. The evaluation has evidenced that changes in legislation, the continuity of the created organizational structures (e.g. NCC) and the adoption of specific budget lines for POPs vary in each of the twelve countries.

206. The SWOT analysis of the project can be summarized as follows:

Strengths	Weaknesses
• Enhance government commitment to comply with obligations to the Stockholm Convention • NIP prepared and integrated into core functions of lead agency • Capacity building, training and learning. • Multi-stakeholder approach • Phased implementation, starting with sector studies, and national inventories • Regular amendments of national POPs legislation in compliance with the SC • Development of institutional systems at national and regional levels for enforcement of environmental legal framework for management of POPs • Improve administrative capacity to review and update the country NIP for POPs management • Develop public awareness on POPs hazards • Call for technical sound storage and/or elimination of POPs	• Cumbersome administrative procedures • POPs control under various responsible agencies. No central coordinating body • Changes in priorities within lead agency or sectors • Inadequate staffing responsible for NIP implementation, or other responsibilities-work overwhelming/overload • Lack of resources at the country-level • Weak/inefficient communication system. Absence of awareness raising/education programs. • Lack of stakeholder involvement/endorsement • Absence of a culture of inclusiveness in some countries • Lack of adequate monitoring. Incomplete data on stocks, releases, levels and effects of POPs • Unsolved problem for final elimination of wastes, containing and/or contaminated with POPs
Opportunities	**Threats**
• Enhance political will to make efforts to solve POPs issue according to provisions of the SC • Use opportunities under other programs to promote/implement NIP activities • Revision and improvement of national legislation • Possible organizational restructure to emphasize international environmental obligations • Acquiring expertise in management of POPs as well as other chemicals • Helping establish national and regional coordination and capacity to manage POPs • Foster multistakeholder approaches to coordinate and supervise the fulfilment of international conventions on chemicals management. • Experiences and lessons learned from other countries during the regional workshops. • Awareness-raising among decision makers, private sector and most exposed groups. • Institutional framework for information and public participation in decision taking with regard to environment, including POPs issues • Develop monitoring system for POPs in different environmental compartments	• Changes in government, ministers or heads of department resulting in loss of management support or delays in the NIP process • Frequent changes/transfer of personnel, making difficult to retain expertise and institutional memory of lessons learned. • Lack of knowledge/understanding of POPs/chemicals risks • Conflicting advice/information from international agencies to respective partner organizations in countries on certain POPs • No follow-up projects • Lack of financial resources from State budget for implementing Action Plans • Lack of binding instruments which help to strengthen law enforcement • Addition of more POPs to the Stockholm Convention list, increasing the burden of implementing countries.

207. Thus, the overall ratings of project implementation success are as follows:

i) 12-Country project

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	The general objectives were successfully achieved.	S
A. 1. Effectiveness	The project was effective in producing the NIPs.	HS
A. 2. Relevance	The project was largely relevant to national development priorities, and the results should help compliance with the Stockholm Convention.	S
A. 3. Efficiency	The results were satisfactorily attained, in relation to the planned activities but not to the time span.	MS
B. Sustainability of Project outcomes (overall rating)	Outcomes in the participant countries are hardly sustainable unless continued external support is provided. However, the development of the compliance of the Convention may slowly increase the possibilities.	ML
B. 1. Financial	National resources are limited. Improving capacity may create new opportunities for project submissions.	ML
B. 2. Socio-Political	This is a long-term process, primarily depending on the implementation of NIPs and governmental policies.	L
B. 3. Institutional framework and governance	Enforcement of national policies regarding POPs should facilitate the conditions for sustainability.	L
B. 4. Ecological	The benefits of the project are obvious but will depend on follow-up actions in each country. There are also issues (e.g. the lack of monitoring capacity of POPs emissions) which pose serious challenges to the sustainability of project results I some countries.	ML
C. Achievement of outputs and activities	The activities were properly, timely and adequately implemented as planned. The project was highly successful in producing the anticipated outputs with the necessary technical authority to influence national policy and decision-making.	HS
D. Catalytic role	The project, on the whole, played a moderate role at national level in bringing changes in institutional and stakeholder (industrial, social) behaviours and contributing to implement policy changes. In Zambia, however, the project has helped produce significant policy, legal, and behavioural changes.	MS

Criteria	Evaluator's Summary Comments	Evaluator's Rating
E. Monitoring and Evaluation (overall rating)	M&E were effectively taken into the project. The Log-frame matrix defined the "achievement indicators" and the "means of verification". The half-year and UNEP GEF PIR FY Reports provide good evidence of the project M&E.	S
E. 1. M&E Design	A M&E system is not formally described in the project document but M&E activities were adequately performed.	S
E. 2. M&E Plan Implementation (use for adaptive management)	The revision of the project, reallocating resources and extending the duration, illustrates the proper use of M&E activities that were carried out following the M&E Program of the GEF Secretariat.	S
E. 3. Budgeting and funding for M&E activities	M&E activities, except the Terminal Evaluation, were not budgeted but they were well completed.	S
F. Preparation and readiness	The project design was proper but the planned activities were not feasible within its timeframe resulting in considerable delays. The capacity of the executing Institution was adequate and the management efficient.	MS
G. Country ownership / driveness	In 8 out of 12 countries there is clear evidence of country ownership and the project was relevant to national development of environmental agendas.	S
H. Stakeholders involvement	Most of the countries followed the multi-stakeholder approach. Only half of them developed public awareness activities. All countries opened dedicated websites, although most have not been updated.	HS
I. Financial planning	Funds were soundly managed. Budget adjustments were necessary and adequate. Financial reporting in some cases was inaccurate.	S
J. Implementation approach	The project was executed according to the plans. The management was responsive and adaptive. Supervision and financial support by the SG was satisfactory.	S
K. UNEP Supervision and backstopping	The Project was loosely monitored by the Steering Group but the Project manager did very efficiently, responding in a timely manner to questions from the countries and providing expertise as requested. However, some terminal reports are still pending.	S
L. Complementarity with UNEP medium term strategy	It is apparent that the project is specifically targeted to achieve the objectives of the UNEP MTS on management of persistent hazardous substances.	-

ii) Umbrella project

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	The general objectives were were not properly formulated but the results contributed successfully to the success of the project.	S
A. 1. Effectiveness	The project was highly effective in producing guidance documents and tools for implementing the monitoring component of the Stockholm Convention.	HS
A. 2. Relevance	The results (guidance documents as well as the regional activities) contributed, among others, to support the compliance of the SC	S
A. 3. Efficiency	The results were satisfactorily attained, in relation to the planned activities but not always in time. The production of the guidance documents was cost-effective but not the fact finding missions.	S
B. Sustainability of Project outcomes (overall rating)	In the context of the umbrella project, sustainability could be understood as the continued availability of updated guidance documents that should be provided by UNEP.	L
B. 1. Financial	In principle there should be no major problem in getting the financial resources within the internal programming of UNEP.	L
B. 2. Socio-Political	The implementation of the SC, involving information updating, should facilitate the conditions for sustainability.	L
B. 3. Institutional framework and governance	The agencies that shared and lent their expertise to the creation of the various documents and other assistance products could be committed themselves in performing this task.	L
B. 4. Ecological	The benefits of the umbrella project are obvious and will support continuity.	L
C. Achievement of outputs and activities	All deliverables were completed with an excellent proficiency and technical quality. Unfortunately, some guidelines were not delivered in time.	HS
D. Catalytic role	The umbrella project did not directly contribute to catalyzing changes. However, it played a catalytic role in supporting the creation of an enabling environment that indirectly attained global benefits.	S
E. Monitoring and Evaluation (overall rating)	M&E were effectively taken into the project. The Log-frame matrix defined the "achievement indicators" and the "means of verification". The half-year and UNEP GEF PIR FY Reports provide good evidence of the project M&E.	S

E. 1. M&E Design	A M&E system is not formally described in the project document but M&E activities were adequately performed.	S
E. 2. M&E Plan Implementation (use for adaptive management)	The revision of the project, reallocating resources and extending the duration, illustrates the proper use of M&E activities that were carried out following the M&E Program of the GEF Secretariat.	S
E. 3. Budgeting and funding for M&E activities	M&E activities, except the Terminal Evaluation, were not budgeted but they were well completed.	S
F. Preparation and readiness	UNEP has a central role in the implementation of the POPs Convention by developing capacity building programs. The objectives of the activities and the assignment of responsibilities were clear and feasible, although in some cases the time delivery was delayed.	MS
G. Country ownership / driveness	The preparation of guidelines contributed to enable the country commitment and drive the outcomes to decision-making during and after the project.	S
H. Stakeholders involvement	The project manager developed and implemented a communication strategy to enhance public awareness. Relevant information is available at the project website.	MS
I. Financial planning	According to the information provided it appears that funds were soundly managed. Budget adjustments were adequate.	S
J. Implementation approach	The project was executed according to the plans. Management was effectively and efficiently implemented. Supervision and financial support by the SG was satisfactory.	S
K. UNEP Supervision and backstopping	The Project manager coordinated the development of the guidelines and looked after the peer reviews. She provided liaison and support to the sub-regional consultations.	S
L. Complementarity with UNEP medium term strategy	The project is specifically targeted to achieve the objectives of the UNEP MTS on management of persistent hazardous substances through awareness-raising, outreach and communications, including education and training.	-

HS = Highly Satisfactory
S = Satisfactory
MS = Moderately Satisfactory
MU = Moderately Unsatisfactory
U = Unsatisfactory
HU = Highly Unsatisfactory

L = Likely
ML = Moderately likely
MU = Moderately unlikely
U = Unlikely

4. Lessons (to be) learned

208. From the above conclusions, a number of lessons from the standpoint of the design and implementation of the project were learned, and considered of interest for UNEP in preparing future activities. Lessons will mostly refer to actions to be considered in future projects for the implementation of the Stockholm Convention in developing countries/regions.

i) The design of the project included performance indicators such as "evidence of reduction of releases of POPs in the environment", and "reduction of the number of reported acute adverse human health incidents" that were not to be achieved during the project lifetime, and others with a doubtful cause-effect relationship like "increased number of countries signing and or ratifying the Convention". These indicators are distracting, and would make the project lose its reference to the central issues. The lesson to be learned here is that attention should be paid to appropriate selection of performance indicators which reflect and can measure the actual achievements of a project.

ii) The efficacy of the pilot project was heavily undermined when, before its completion, GEF offered grants to all eligible countries for the same purpose. In such situation it is clear that there was little use of the pilot project approach. The lesson to be learned is that it is important that external events that may affect the project are considered, and the scope of the project reviewed if the circumstances advise. This should apply not only to new initiatives but also to on-going ones (e.g. capacity building projects) in order to strengthen project outputs.

iii) When designing a pilot project such as this, with different components involved, it is essential to have an adequate time frame to ensure optimal use of resources and a productive synergy among the different steps. The implementation plan was not very cost-effective. It would have been more beneficial if the project was developed in several phases: the first phase for preparing the project during which a project manager should be appointed and the organizational structures agreed upon, the second phase for desk studies to prepare for subsequent field work, and the final phase for project closure and ensuring full translation and worldwide transfer of all project outputs.

iv) The difficulties experienced in the development of the project could be alleviated if the composition of the partnership (e.g. socio-economic, political and geographical characteristics of the countries) was properly factored into the budgets, as well as into project timelines and other elements of the project structure. Funding should take into account the real costs, especially transport/logistics, communication, consultancy, etc. in each of the project countries. To avoid confusion related with financing the whole/partial activities with national funds, in-kind contribution should also be clearly documented. This could also be a consideration for the selection of the country.

v) The overall project and 12-country sub-project managers were also very important to the success of the project. However, the unforeseen changes in personnel that were experienced during the project development lead to loss of institutional memory, expertise and unnecessary disruptions. The lesson to be learned is that changes in key project personnel should be avoided, or at least the consequences should be mitigated through proper adaptive provisions.

vi) The delayed implementation of the project had also practical implications as in the meantime the reality on the ground changed. In particular, POPs inventories do not include any reference to the 9 new POPs added to the original list covered by the Stockholm Convention. Therefore, the lesson to be learned is that if realities of the project thematics change to the extent that this would have significant effect on the project's ability to achieve its results, it should be possible to make provisions to redefine the expected outcomes and performance indicators.

vii) The appropriate selection of the partnership is fundamental as this has a potential impact on project success. Although this selection should not exclude less performing countries, because a lot can be learned from difficulties and failures, the present experience indicates that some additional criteria are worth considering. The lesson to be learned is that weighted consideration for inclusion in the pilot project should be given to countries with a record of basic capacity installed and previous accomplishments in the area that could be documented by a well-founded declaration of interest. This will enhance synergies between the field and desk components, increasing the cost-efficiency of the project.

viii) Stakeholder participation is a requirement of the SC. Assigned responsibilities for each member are very important for the efficient operation of a coordination mechanism, ensuring substantial contributions and a strong basis for POPs management. Indeed, a major lesson learned from involving stakeholders is that providing them information and building their capacities makes them more effective in their roles as project participants. However, taking into account their uneven involvement along the project, another lesson learned is that they should be identified and informed of this participatory process in advance of the project starting in order to enhance their participation. Provisions should be made for this at the project design stage.

ix) As indicated in the assessment the project performance, reporting has been very irregular across countries, and not always successfully managed. At present, most reports are exhaustive regarding the financial aspects but some are weak in terms of technical content. Moreover, final accounting and audit certificates have not been provided by some countries and this requires further tracking. It is surprising that these differences had no impact on the disbursement of funds and, at the end, all countries received funds budgeted for irrespective of the degree of execution of their obligations. Failure to meet reporting obligations should make a country ineligible to receive further support. A lesson to be learned is that project documents should adequately address the issue of how to deal with failures to comply with reporting obligations.Efficient interim monitoring and evaluation has to be implemented by UNEP in order to determine the specific reasons for delays in reporting and/or potential failing in progress. This will help create stronger linkages between disbursements of funds and the achievement of results and outcomes.

x) Efficient project management requires careful consideration and a sound chain of command. Project managers cannot be held accountable for total project management without the authority to manage funds or, even worse, without access, on-line, to the current state of the project budget. The lesson learned here is that roles and responsibilities need to be clearly defined, and those with authority held fully accountable. A reinforced management should be able to respond effectively to project delivery problems, and effect timely remediation of problems.

xi) When preparing to assist developing countries comply with Convention obligations that require new knowledge, skills and capacities, the preparation of the guidance documents should be seen as a prerequisite, and enabling grants should be withheld until these documents are ready. This is consistent with the suggestion above for a phased implementation of the project. Moreover, the possibility to adapt these tools to national/regional realities should be envisaged, particularly when they involve technologies that might not be suitable, or not very appropriate for these countries.

xii) Training is of particular importance in these projects. The adoption of a regional approach in implementing all these activities has proved to be the most convenient and effective, although only partially exploited. Countries with similar problems and levels of development have very specific needs for capacity building, and these can best be addressed on-site. South-South cooperation would have greater, more direct and immediate benefits.

xiii) The participation of the governmental and private sectors in oversight structures is essential to the sustainability of action plans, encouraging decision-making, and the necessary investments. Therefore, the continuity of these bodies should be strengthened during the implementation of the project.

xiv) The present project took much longer time than expected because not all circumstances were foreseen at the sub-project design stage. The project **operational aspects**, particularly those of administrative, financial and temporal nature, should be reviewed with the respective countries prior to implementation. This would make it possible to take adequate account of local conditions and modes of operation, and flexibility to optimize project effectiveness and efficiency.

6. Recommendations

209. The following recommendations are made as a result of this evaluation of the UNEP/GEF Targeted Project "Development of National Implementation Plans for the Management of Persistent Organic Pollutants"

i) The **regional implementation** design proved to be a suitable and cost-effective approach. Encompassing more homogeneous political, socio-economical, and linguistic environments facilitates knowledge transfer and sharing of experiences. Follow-up activities at regional level (workshops, training seminars, etc.) are strongly recommended.

ii) Resources should be mobilized to update NIPs, especially with regards to ensuring re-validating baseline data obtained from past inventories, and taking on board the new POPs added to the original list of POPs under the Stockholm Convention.

iii) Taking into account the key role that NIPs play in the implementation of the SC, the production of **guidance documents** and enhancement of expertise and the further mobilisation of financial resources should be continued through UNEP. Documents and associated training activities should be updated from time to time, consistent with the SC reporting obligations. In this respect, the production of guidance documents on the new POPs should be continued by the Convention Secretariat.

iv) Special attention should be paid to the institutional websites, including UNEP website. As the information available may contribute not only to the diffusion of the results but also to the further stakeholder participation, continued updating of the content, particularly on POPs focal points or contact persons, is imperative. The possibility to include forums in the website should also be seriously considered. Some regions proposed the establishment of regional forums for POPs and a data base for POPs experts.

v) Clear instructions should be given to project managers to archive all relevant information for easy retrieval if required later. This includes the selection and display of the relevant information in the project website.

vi) Resources should be mobilized to update NIPs, especially with regards to ensuring re-validating baseline data obtained from past inventories, and taking on board the new POPs added to the original list of POPs under the Stockholm Convention.

Annexes

Annex 1. Project log-frame matrix

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTION AND RISK
Overall Objective			
To protect human health and the environment through prompt implementation of the Stockholm POPs Convention	Reduction of releases of POPs in the environment; Reduction of the number of reported acute adverse human health incidents.	Environmental monitoring programmes (not within project lifetime); Reports from poison centres.	That financial and technical assistance will be available to implement the NIPs.
Outcomes			
Faster and easier development of NIPs for other countries using the guidelines	Other countries and GEF agencies refer to the guidelines	Enabling activities project proposals	That the guidelines are produced in a timely manner
Other countries are encouraged to sign and ratify the POPs Convention	Increased number of countries sign and/or ratify the Convention	No of signatures, instruments of ratification received	None
Pilot countries have the capacity to meet their obligations under the POPs Convention.	Reporting capacity meeting the needs of the POPs convention.	Acknowledgement of satisfactory reporting from the POPs Convention Interim Secretariat	None
Strengthened national capacity to manage Persistent Organic Pollutants (POPs) and other chemicals in the pilot countries.	Reform in legislation, infrastructure, etc.	Update of National Profile	That chemical management structures and resources developed under the project remain devoted to POPs management. The risks are of staffing and government instability.
Objective basis for POPs management priorities in the pilot countries.	Priorities identified during the project are used as the basis for national action.	Project proposals	That sectoral interests override agreed priorities
Enhanced knowledge and understanding of national POPs problems amongst decision makers, managers, industry, and the public at large.	Increased importance of chemicals problems on the political agenda; Increased national activities on chemicals / POPs problems	Government declarations	That conclusions and recommendations contained in the NIP receive broad-base national acceptance.

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTION AND RISK
Results			
Generic and technical guidelines for NIP development and managing/eliminating POPs are available to all countries.	Compilations of methodologies and guidelines are made available	National chemical managers in all countries receive at least a copy of the final guidelines.	That the other GEF eligible countries are aware of the existence of the guidelines. This risk is alleviated by the existence of the sub-regional meetings. That the solutions proposed can be applied in all GEF eligible countries.
National Implementation Plans for the Convention, including prioritised and costed action plans for management and remediation actions.	National Implementation Plans and their associated costs are produced.	Adoption of NIPs (NIPs are published and distributed).	National policy reflects the identified priorities
Components/Activities			
Component 1: Development of National Implementation Plans for POPs Management			
Determination of co-ordinating mechanisms and organisation of process (step 1).	Functional National Co-ordinating Committee; Assignment of responsibilities; Agreed workplan.	Progress report to UNEP	That National Agencies confirm their commitment to the project. The risk that they do not is alleviated by the importance attached to multi-agency/government department endorsement in the country selection process.
Establishment of POPs inventory and assessment of national infrastructure and capacity (step 2).	Major sources of POPs in the country and infrastructure are assessed.	Task teams reports	That industry and the private sector collaborate and provide the needed information. The risk can be alleviated through their participation in the National Co-ordinating Committee.
Priority setting and determination of objectives (step 3).	The national co-ordinating committee agrees on priority	Minutes of National Co-ordinating Committee	That National Agencies confirm their commitment to the project. The risk

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTION AND RISK
	chemicals and environmental issues.	meetings.	that they do not is alleviated by the importance attached to multi-agency/government department endorsement in the country selection process. That there is good co-operation and response from industry and other stakeholders.
Formulation of a NIP, and specific Action Plans on POPs (step 4).	The national co-ordinating committee agrees on the workplan; Task teams are mandated to execute their tasks.	Minutes of National Co-ordinating Committee meetings; National Implementation Plans are produced.	Same as above
Endorsement of NIP by stakeholders (step 5).	National stakeholders buy-in to the NIP	Declarations from trade associations; Meeting reports.	None foreseen if all stakeholders are involved in NIP development through the National Co-ordinating Committee.
Support to civil society	Small project are executed by local NGOs	Project reports	That governments and NGOs work together. The risk that they do not is alleviated by the commitment from participating countries to working with NGOs.
Component 2: Development of Global Guidelines for National Implementation Plans			
Review of lessons learned and experience gained / consolidation of guidelines	Lessons and experience from the pilot countries are assessed and integrated with the initial guidelines.	Expert meetings reports and publication of global guidelines.	None

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTION AND RISK
Assessment of resource requirements to develop National Implementation Plans (NIPs)	Average "cost norms" for NIP development are produced	Experts meetings reports	That the differences between countries are not so great that the exercise is meaningless. This risk is relatively high. The independent review of the pilot biosafety project, for example, concluded that the development of "cost-norms" had turned out to be "perhaps virtually impossible".
Compilation and review of existing methodologies	Methodology and guidelines from various international organisations and development agencies are identified and compiled.	Initial set of guidelines provided to pilot countries at start of project	That IGOs and others collaborate and support the project. This assumption should be met as the PDF has benefited from the active participation from other agencies.
Component 3: Dissemination and Sub-regional Consultations			
Sub-regional consultations	Neighbouring countries share experience with the pilot countries.	Meeting attendance and reports.	That countries are willing to collaborate. UNEP's experience in organising sub-regional workshops on POPs related issues, including during the preparation for this project, is that this is generally the case. Moreover, countries' participation is facilitated by small grants for fact-finding exercise.
Dissemination	Results are disseminated widely at the national level, including to the public, decision-makers, managers, industry and NGOs; Results are disseminated widely at the global level, including progress reports to meetings of the INC, and at the COP.	Publication of reports, brochures, CD-ROM, films, radio programmes etc; Meeting reports.	That targeted communication activities can change people's perceptions and actions.

SUMMARY	OBJECTIVELY VERIFIABLE INDICATORS	MEANS OF VERIFICATION	CRITICAL ASSUMPTION AND RISK
Component 4: Project Co-ordination and Management	Setting-up national co-ordinating committees; Hiring of national co-ordinators; Hiring of project manager; Meetings of the Steering Committee.	Issuance of contracts; Publication of meeting reports.	That the appraisal phase proceeds expeditiously such that in-country activities may start in 2001.

Annex 2. Summary co-finance information and a statement of project expenditure by activity

2.1. Annual distribution of the proposed budget of the project (initial + additional)

		GEF funding								Co-funding					
IMIS Code		Yr 02	Yr 03	Yr 04	Yr 05	Yr 06	Yr 07	Yr 08	Total	Yr 05	Yr 06	Yr 07	Yr 08	Total	Grand Total
4452	**Umbrella**	398,774	371,142	162,282	143,016	534,969.84	1,806.77	364,009.16	1,975,999.77	39,224.00	139,563.17	137,860.18	135,352.36	451,999.71	2,428,000.48
4453	**Barbados**	42	57,733	43,832	63,113	57,553	-5,167	62,893	280,000				10,000	10,000	290,000.00
4454	**Bulgaria**	24	126,272	115,571	79,672	-78.66	120,280.08	79.52	441,819.94			19,000		19,000	460,819.94
4455	**Chile**	54,706	174,081	218,039	49,304			3,869.73	499,999.73				19,000	19,000	518,999.73
4456	**Ecuador**		148,920	118,208	49,115	88,421.52	32,870.41	2,464.76	439,999.69	5,000		14,000		19,000	458,999.69
4457	**Guinea**	39,575	139,791	39,967	32,082	68,484	15,637.50	6,465.21	342,000.71			19,000		19,000	361,000.71
4458	**Lebanon**			47,762	108,507	30,365.28	28,948.95	118,417.21	334,000.44				19,000	19,000	353,000.44
4459	**Malaysia**			111,510	62,070	153,929.30		71,490.35	398,999.65		19,000			19,000	417,999.65
4460	**Mali**	20	214,450		28,447	33,655		82,878.05	359,450.05				19,000	19,000	378,450.05
4461	**Micronesia**			153,646	83,326	22,999.36		110,027.90	370,000.26				19,000	19,000	389,000.26
4462	**Papua NG**		87,177	89,533	53,890	-20	-23,335.30	79,754.84	286,999.54				19,000	19,000	305,999.54
4463	**Slovenia**		30,177	55,574		19,328.49	13,334.47	41,585.97	159,999.93				30,000	30,000	189,999.93
4464	**Zambia**		162,069	72,256	28,181	101,801.86		46,430.97	410,737.83		19,000			19,000	429,737.83
Total		**493,141.00**	**1,511,812.00**	**1,228,180.00**	**780,723.00**	**1,111,408.99**	**184,375.88**	**990,366.67**	**6,300,007.54**	**44,224.00**	**177,563.17**	**189,860.18**	**270,352.36**	**681,999.71**	**6,982,008.25**

2.2 Annual budget distribution by activity for the umbrella project

GFL/2732-02-4452/Rev.06	2002	2003	2004	2005	2006	2007	2008	2009	TOTAL GEF COST
GEF funding	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	
1101 Project Manager P4	76,863	138,749	148,003	101,399	0	0	0		465,014
1201 Consultant (Compilation and review of guidelines)***	0	0	2,800	0	0	0	0		2,800
1202 Consultant (Consolidation and editing of guidelines)	0	0	0	6,500	0	0			6,500
1206 Consultant (Posting documents on SSC website)	0	0	0	0	0	0			-
1207 Consultant (Posters Devt / Translation)							70,000		70,000
1208 Consultant Technical Evaluation									-
1321 Temporary Assistance	17,050	60,233	213	0	0	0	0		77,496
1381 Administrative Support	0	15,134	0	0	0	0	0		15,134
1601 Travel for Project Manager	38,032	55,703	20,656	5,127	0	0	0		119,517
1999 Component Total	**131,945**	**269,818**	**171,672**	**113,026**	**0**	**0**	**70,000**	**0**	**756,461**
2101 Support to Civil Society (50 Small Grants)	0	0	0	0	83,520	0	-10,384		73,136
2102 Subcontracts (Fact finding studies 50 countries)**, ****	88,000	25,000	-20,430	0	94,608	0	0		187,178
2103 MOU's IO's	96,500	23,209	-24,109	0	32,000	0	-16,000		111,600
2999 Component Total	**184,500**	**48,209**	**-44,539**	**0**	**210,128**	**0**	**-26,384**	**0**	**371,914**
3301 National Coordinators Meeting (2)			0	0	0	0	0		-
3302 Steering Groups Meetings (3)	0	407	-21,056	10,653	4,345	-109	-16,988		(22,748)
3303 Regional meetings (12)	58,271	49,634	2,135	7,020	273,284	0	-112,705	122	277,761
3398 Expert meeting for development of guidelines(4)	0	0	0	0	15,289	0	-634		14,656
3999 Component Total	**58,271**	**50,042**	**-18,921**	**17,673**	**292,918**	**-109**	**-130,326**	**122**	**269,669**
4101 Office Supplies	0	0	0	0	0	0	0		-
4201 Computer Equipment	3,738	1,845	-59	0	0	954	0		6,479
4202 Office Equipment	0	0	0	0	0	0	0		-
4301 Premises	0	0	0	0	0	962	0		962
4999 Component Total	**3,738**	**1,845**	**-59**	**0**	**0**	**1,916**	**0**		**7,440**
5102 Rental and maintenance of photocopy equipment	0	0	0	0	0	0			-
5201 Translation, publications&dissemination of reports&guidelines	0	0	8,750	0	32,400	0	38,756		79,906
5301 Communication	62	1,152	3,161	4,978	0	0	364		9,716
5302 Other (Contingency and Misc. Administrative Charges)	20,258	75	42,218	7,340	-476	0	64,120		133,536
5375 UNDP Handling Charges								431	431
5501 Sundry								-876	(876)
5999 Component Total	**20,320**	**1,227**	**54,129**	**12,317**	**31,924**	**0**	**103,240**	**-444**	**222,714**
99 TOTAL	**398,774**	**371,142**	**162,282**	**143,016**	**534,970**	**1,807**	**16,530**	**-323**	**1,628,199**
Previous Budget	**398,774**	**371,142**	**162,282**	**143,016**	**900,786**	**0**	**0**	**0**	**1,976,000**
Variance (Rev.06)	**0**	**0**	**0**	**0**	**365,816**	**-1,807**	**-16,530**	**323**	**347,801**
QGL/2732-02-4452/Rev.06	**2002**	**2003**	**2004**	**2005**	**2006**	**2007**	**2008**	**2009**	**Total co-funding**
Co-funding	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	**ACTUAL**	
1201 Consultant (Compilation and review of guidelines)	0	0	0	0	75,000	0	-75,000		-
1202 Consultant (Consolidation and editing of guidelines)	0	0	0	0	0	0			-
1999 Component Total	**0**	**0**	**0**	**0**	**75,000**	**0**	**-75,000**	**0**	-
2102 Subcontracts (Fact finding studies 50 countries)	0	0	0	0	0	105,472			105,472
2999 Component Total	**0**	**0**	**0**	**0**	**0**	**105,472**	**0**	**0**	**105,472**
3301 National Coordinators Meeting (2)	0	0	0	0	0	32,425	-6		32,419
3302 Steering Groups Meetings (3)	0	0	0	39,224	-14,201		-116		24,907
3303 Regional meetings (12)	0	0	0	0	78,765	-37			78,728
3398 Expert meeting for development of guidelines(4)	0	0	0	0	0				-
3999 Component Total	**0**	**0**	**0**	**39,224**	**64,563**	**32,388**	**-122**	**0**	**136,054**
Total	**0**	**0**	**0**	**39,224**	**139,563**	**137,860**	**-75,122**	**0**	**241,526**
Previous Budget	**0**	**0**	**0**	**39,224**	**412,776**	**0**	**0**	**0**	**452,000**
Variance (Rev.06)	**0**	**0**	**0**	**0**	**273,213**	**-137,860**	**75,122**	**0**	**210,474**
Grand Total	**398,774**	**371,142**	**162,282**	**182,241**	**674,533**	**139,667**	**-58,591**	**-323**	**1,869,725**

2.3. Initial project expenditure by country and activity

	Barbados	Bulagaria	Chile	Ecuador	Guinea	Lebanon	Malaysia	Mali	Micronesia	Papua NG	Slovenia	Zambia	Total
10 PERSONNEL COMPONENT													
1100 Project Personnel													
1101 National Coordinator	60000	20000	80000	70000	40000	75000	57000	30000	28000	38000	40200	40000	578200
1199 total	60000	20000	80000	70000	40000	75000	57000	30000	28000	38000	40200	40000	578200
1200 Consultants													
1201 Consultant (Information gathering- Component 1.2.2)	5000	6000	10000	10000	20000	10000	20000	10000	19000	5000	8000	4000	127000
1202 Consultant (Data collection-Component 1.2.2)	35000	55000	90000	60000	24000	30000	70000	32000	24000	35000	14000	30000	499000
1203 Consultant (Development of National POPs Inventory- Component 1.2.2)	25000	30000	40000	30000	10000	10000	20000	4000	9000	12000	10000	31000	231000
1204 Consultant (Analysis existing data human health&envirt. related to POPs-Component 1.3)	10000	12000	12000	15000	15000	8000	20000	12000	9000	10000	7000	10000	140000
1205 Consultant (Analysis socio- economics of POPs use -Component 1.3)	10000	12000	12000	12000	10000	10000	20000	9000	9000	10000	7000	10000	131000
1220 Consultant Unspecified (review of draft NIP, additional technical assistance)	5000	5000	10000	10000	3000	6000	5000	5000	7000	10000	6000	15000	87000
1299 total	90000	120000	174000	137000	82000	74000	155000	72000	77000	82000	52000	100000	1215000
1300 Administrative Support													
1321 Temporary Assistance	5000	10000	10000	10000		15000	12500		7000	12000	10800	15000	107300
1322 Conference Services		8000	10000										18000
1399 total	5000	18000	20000	10000		15000	12500		7000	12000	10800	15000	125300
1600 Travel on Official Business													
1601 Travel for Project Personnel				20000	20000	20000	21000	20000	20000	20000	10000	10000	161000
1699 total				20000	20000	20000	21000	20000	20000	20000	10000	10000	161000
1999 component total	**155000**	**158000**	**274000**	**237000**	**142000**	**184000**	**245500**	**122000**	**132000**	**152000**	**113000**	**165000**	**2079500**
20 SUB CONTRACT COMPONENT													
2100 Sub-contracts (MOUs for cooperating with IOMC agencies FAO, UNITAR,WHO)	25000	11000	25000	20000	15000	24000	15000	35000	60000	10000	16000	38000	294000
2199 total	25000	11000	25000	20000	15000	24000	15000	35000	60000	10000	16000	38000	294000
2999 component total	**25000**	**11000**	**25000**	**20000**	**15000**	**24000**	**15000**	**35000**	**60000**	**10000**	**16000**	**38000**	**294000**
30 TRAINING COMPONENT													
3200 Group Training													
3201 Technical Training on Inventories and POPs Priority Setting	10000	19000	30000	15000	9000	18000	17000	15000	15000	14000	8000	20000	190000
3299 total	10000	19000	30000	15000	9000	18000	17000	15000	15000	14000	8000	20000	190000
3300 Meetings/Conferences													
3301 Meetings of National Coordination	25000	29000	28000	27000	16000	24000	17000	14000	32000	25000		23000	260000
3302 Meetings of National Stakeholders			14000	35000	16500	14000	22000	18000	55000	17000	17000	25000	233500
3303 Meetings of Task Teams	45000	55000	55000	32000	40000	36000	48000	35000	50000	40000	20000	36000	492000
3399 total	70000	84000	97000	94000	72500	74000	87000	67000	137000	82000	37000	84000	985500
3999 component total	**80000**	**103000**	**127000**	**109000**	**81500**	**92000**	**104000**	**82000**	**152000**	**96000**	**45000**	**104000**	**1175500**
40 EQUIPMENT COMPONENT													
4100 Expendable equipment													
4101 Office Supplies	2000	4000	2000	2000	2000	1500	2000	2000	2000	2000	1000	1500	24000
4102 Computer Software				1500			1000					1500	4000
4199 total	2000	4000	2000	3500	2000	1500	3000	2000	2000	2000	1000	3000	28000
4200 Non-expendable equipment													
4201 Computer Equipment	5000	15000	8000	14000	16000	14000	15500	16000	18000	16000	7000	16500	161000
4202 Office Equipment	1000	5000	1000	2500	2500	1500	1500	2000	2000	2000	1500	3000	25500
4299 total	6000	20000	9000	16500	18500	15500	17000	18000	20000	18000	8500	19500	186500
4999 component total	**8000**	**24000**	**11000**	**20000**	**20500**	**17000**	**20000**	**20000**	**22000**	**20000**	**9500**	**22500**	**214500**
50 MISCELLANEOUS COMPONENT													
5100 Operation and Maintenance of Equipment													
5101 Maintenance of computer equipment	1000	1500	1500	750	1000	750	1500	1750	750	1000			11500
5102 Rental and maintenance of photocopy equipment	1000	1500	1500	1250	1000	1250	1500	2250	1250	1000			13500
5199 total	2000	3000	3000	2000	2000	2000	3000	4000	2000	2000			25000
5200 Reporting Cost													
5201 Publications and dissemination of the NIP report and National Profile & Advocacy Activities	15000	11000	16000	16000	16000	22000	18000	14000	12000	14000		19000	173000
5299 total	15000	11000	16000	16000	16000	22000	18000	14000	12000	14000		19000	173000
5300 Sundry													
5301 Communication		2000	5000	6000	6000	6000	8000	8000	6000	8000	2000	16500	73500
5302 Other	5000	5000	4000	4000	3000	6000	4500	5000	3000	4000	4500	6000	54000
5399 total	5000	7000	9000	10000	9000	12000	12500	13000	9000	12000	6500	22500	127500
5999 component total	**22000**	**21000**	**28000**	**28000**	**27000**	**36000**	**33500**	**31000**	**23000**	**28000**	**6500**	**41500**	**325500**
99 GRAND TOTAL	**290000**	**317000**	**465000**	**414000**	**286000**	**353000**	**418000**	**290000**	**389000**	**306000**	**190000**	**371000**	**4089000**

2.4. Leveraged Resources

In addition to the financial resources directly committed to the project since its approval by GEF (see above), contributions from other donors and the participating institutions were leveraged by the project.

The initial budget was complemented with donations from Germany, Sweden and Switzerland and also from UNEP via the Trust fund.

Moreover, the participant institutions contributed in the form of direct expenditures, travel expenses and dedicated time from different personnel.

In this respect:

- IT people in UNEP spent time for maintaining the Webpage;
- The Steering Group provided time and travel costs;
- Governments provided in-kind resources for communication, some transport, personnel assisting to some of the project activities, etc.
- Stakeholders provided personnel, transport and venues for task team meetings/workshops and other resources for development of sectoral reports and action plans

Annex 3. The Evaluation Terms of Reference

Terminal Evaluation of the UNEP GEF project "Development of National Implementation Plans for the Management of Persistent Organic Pollutants" GF/4030-02-03

1. PROJECT BACKGROUND AND OVERVIEW

The introduction of persistent toxic substances (PTS) into the environment and their resulting accumulation and harmful effects is a major concern at the local, national, regional and global scales. Many of the substances are organic compounds characterised by persistence in the environment, resistance to degradation, and acute and chronic toxicity. Persistent toxic substances can be manufactured substances for use in various sectors of industry, pesticides, or by-products of industrial processes and combustion. In addition many are transported through atmospheric, aquatic or migratory species transport over long distances and are thus globally distributed, detectable even in areas where they have never been used. Following the recommendations of the Intergovernmental Forum on Chemical Safety, the UNEP Governing Council decided in February 1997 (Decision 19/13 C) that immediate international action should be initiated to reduce and/or eliminate the emissions and discharges of an initial set of twelve persistent toxic substances referred to as 'persistent organic pollutants (POPs).

After the Basel Convention on the control of transboundary movement of hazardous wastes and their disposal, GEF was designated as the principle implementing entity for the interim financial mechanism (Article 14 of the Convention). One specific obligation for countries was the development of a National Implementation Plan (NIP). Given that POPs are used and emitted in a variety of economic sectors, including industry, manufacturing and agriculture, the development of appropriate responses would be a complex undertaking. It would require a comprehensive approach and actions at various levels. Often however, governments of developing countries and countries with economies in transition lack guidance on the best approaches to tackling the problems caused by POPs, and/or lack the financial resources necessary to implement basic management measures. In order to develop a suitable approach for assisting countries in this task, detailed information was necessary with regard to specific country needs, available options for managing and eliminating POPs, and human and other resources needed to implement these options effectively.

This project was meant to pilot preparation of National Implementation Plans (NIPS) for the management of POPs by 12 countries. It represents an appropriate initial response to the requirements for dealing with POPs issues by countries that would become Contracting Parties to the new Stockholm Convention. It is predicated on the reasonable assumption that developing countries would need guidance in the development of NIPs to deal with POPs in a manner consistent with the provisions of the Convention.

The pilot countries in the project were: Barbados, Bulgaria, Chile, Ecuador, Guinea/Conakry, Lebanon, Malaysia, Mali, Micronesia, Papua New Guinea, Slovenia and Zambia. Their selection was made by the PDF-B Steering Group on the basis of guidelines and criteria developed by the Steering Group and amended by a meeting of experts held in the framework of the PDF-B. It was done to ensure, among others, that the pilot countries selected were widely representative of target regions, coverage of main groups of POPs and for ease of transferability of the experience gained to other countries at a later stage.

Relevance to GEF Programmes

This project belongs to GEF's focal area of International waters, with incremental cost; it would complement GEF's efforts in sound environmental management through reduction and/or elimination of releases of PTS. It falls under GEF Operational Programmes # 10 and 14. Therefore, its outcomes would build on the experience of GEF financed project entitled"Regionally-based Assessment of Persistent Toxic Substances" which was initiated in September 2000 by UNEP. In addition to this priority-setting programmatic project, the GEF and its Implementing Agencies have been developing demonstration projects that address known POPs/PTS priorities at the country level. Of particular relevance to the proposed project are the UNEP/CAR-RCU "Reducing pesticide runoff to the Caribbean Sea" PDF-B, and the UNEP/PAHO "Comprehensive Action Programme to Phase-out DDT in Mexico and Central America" PDF-B that are GEF financed.

The assistance provided to this initial set of twelve pilot countries would prepare GEF and its agencies for the systematic execution of enabling activities in all GEF eligible countries, much in the way that the UNEP/GEF pilot bio-safety enabling activity project paved the ground for the systematic assistance to all GEF eligible countries. Further, the lessons learned from the pilots would allow the GEF and its agencies to offer rapid and systematic assistance in the execution of enabling activities to all other countries, whilst benefiting from the experience of this pilot project.

Executing Arrangements

The project was implemented by UNEP through the project Steering Group which composed of UNEP Chemicals, UNEP GEF Coordination Office, the other GEF Implementing Agencies (UNDP and the World Bank), FAO, UNIDO, UNITAR, the Secretariat of the Basel Convention, environmental NGO and industry representatives, and the major donors to the project. UNEP appointed a Manager who acted as the secretary to the Steering committee.

At the national level, the project was executed through a multi-sectoral National Coordinating Committee comprising the main actors in government, as well as representatives of industry and the civil society (environmental NGOs, academia, trade unions, etc). The National Coordinating Committee would facilitate co-ordination of the project activities amongst national stakeholders, provide guidance and support to the execution of the project, and oversee the work of the national coordinator. Individual members would be responsible for overseeing specific components of the NIP development. Collectively, the National Coordinating Committee would assemble and finalise the NIP

Since project activities were carried out mainly at the national level, UN and other intergovernmental agencies as well as development agencies would be invited to take on specific activities where they have expertise, under the responsibility of UNEP Chemicals. Other international organizations also provided technical assistance to the pilot countries and at the same time ensure the smooth organization of training and other capacity building activities. There was also the exchange between countries of the technical expertise that may exist in one of the pilot countries. This would best be achieved through regional and international collaboration. The PDF-B identified existing resources and expertise for support at regional level during the pilot projects.

Project Activities

The project duration was 24 months, starting 1 April 2002 and to be completed in March 2004.

Different activities, involving five steps, were to be carried out in each of the pilot countries:

1.0 Determination of coordinating mechanisms and organisation of process

- identification and sensitisation of the key national stakeholders;
- organization of a national coordinating structure (multi-stakeholder national coordinating committee) and focal point;
- identifying and assigning responsibilities for the various aspects of POPs management;
- workplan development; and
- public information and awareness raising (to be continued throughout the project).

2.0 Establishment of a POPs inventory and assessment of national infrastructure and capacity

- preparation of a National Profile (or core sections thereof as they relate more specifically to POPs);
- preliminary inventory of production, distribution, use, import and export;
- preliminary inventory of stocks and contaminated sites; assessment of opportunities for disposal of obsolete stocks;
- preliminary inventory of releases to the environment;
- assessment of infrastructure capacity and institutions to manage POPs, including regulatory controls; needs and options for strengthening them;
- assessment of enforcement capacity to ensure compliance;
- assessment of social and economic implications of POPs use and reduction; including the need for the enhancement of local commercial infrastructure for distributing benign alternative technologies/products;
- assessment of monitoring and research and development capacity;
- identification of POPs related human health and environmental issues of concern, including their transboundary nature; and
- basic risk assessment as a basis for prioritisation of further action taking into account, *inter alia*, potential releases to the environment and size of exposed population.

3.0 Priority setting and determination of objectives

- development of criteria for prioritisation, taking into account health, environmental and socio-economic impact and the availability of alternative solutions; and
- determination of national objectives in relation to priority POPs or issues .

4.0 Formulation of prioritised and costed National Implementation Plan, and specific Action Plans on POPs

- identification of management options, including phasing out and risk reduction options;
- need for introduction of technologies, including technology transfer; possibilities of developing indigenous alternatives;
- assessment of the costs and benefits of management options;
- preparation of initial funding request package for implementation, including cost estimates and incremental costs; and

- development of a national strategy for information exchange, education, communication and awareness raising, taking into account risk perception of POPs by the public, particularly the least educated.

5.0 Endorsement of NIP by stakeholders

- preparation of an information document/report to be submitted to stakeholders for comments; and
- organisation of workshops and dissemination of information to obtain commitment of stakeholders and decision-makers.

Budget

This project attracted considerable funds, GEF provided USD 6,185,000 for project activities and administrative costs. Co-financing of USD 3,130,000 comprised of cash amounting to USD 1,090,000, mainly from donors and development agencies and, in-kind amounting to USD 1.8Million from participating countries.

2. TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to determine the extent to which the project objectives were achieved, or are expected to be achieved, and assess if the project has led to any other positive or negative consequences. If possible the extent and magnitude of any project impacts to date will be documented and the likelihood of future impacts will be determined. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

- To what extent has the project assisted countries in the preparation or strengthening of NIPs for the management of POPs and in determining effective national processes and measures that would reduce releases of POPs?
- What is the extent of, and evidence supporting, enhanced capacity of policy-makers; competent authorities field personnel in complying with the reporting obligations of the POPs Convention?
- How effective was the project in facilitating the implementation of the POPs Convention for its other parties through development of guidelines and tools for the identification and selection of suitable options for POPs management and elimination?

2. Methods

This terminal evaluation (TE) will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/GEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and regularly consulted throughout the evaluation. The consultant will liaise with the UNEP/Evaluation Office and the UNEP/GEF Project Manager on any logistic and/or methodological issues to properly conduct the evaluation in as independent a way as possible, given the circumstances and resources offered.

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

1. A desk review of project documents including, but not limited to:
   (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports), the mid-term evaluation and relevant correspondence.
   (b) Review of specific products including assessments, NIPs, technical guidelines and tools, reports and publications and targeted information products
   (c) Notes from the Multi-national Coordinating and the project group steering Committees.
   (d) Relevant material published on web-sites maintained by GEF *www.thegef.org* and UNEP maintained website www.unep.org/eou

2. Interviews with project management and technical support (such as the UNEP-GEF Project Manager, multi-country Coordinators and members of the Steering Group).
3. Face-to-face interviews and telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. As appropriate, these interviews could be combined with an e-mail questionnaire.

4. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organisations (e.g. UNIDO, IOMC, representatives from Germany and Switzerland) by e-mail or through telephone communication.
5. Interviews with the UNEP/ project manager and Fund Management Officer, and other relevant staff in UNEP dealing with OP10 and OP 14 related activities, including UNEP Chemicals and the Secretariat of the Stockholm Convention.
6. Discussions with relevant GEF Staff to gain broader perspectives related to International Waters-related activities as necessary.
7. Field visits to UNEP chemicals and focal points of selected countries.

Key Evaluation principles

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions ***"what happened?***" and ***"what would have happened anyway?"*** These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition, it implies that there should be plausible evidence to **attribute** such outcomes and impacts to the actions of the project **or determine the contribution** of the project to the outcomes and impacts**.**

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases, this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

1. <u>Project Ratings</u>

The success of project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below:[1]

It should be noted that many of the evaluation parameters are interrelated. For example, the 'achievement of objectives and planned results' is closely linked to the issue of 'sustainability'. Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts and is, in turn, linked to the issues of 'catalytic effects / replication' and, often, 'country ownership' and 'stakeholder participation'.

A. Attainment of objectives and planned results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness:* Evaluate how, and to what extent, the stated project objectives have been met, taking into account the "achievement indicators". The analysis of outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has directly or indirectly assisted policy and decision-makers to apply information supplied by the NIP-POPs in their national planning and decision-making. In particular:

[1] However, the views and comments expressed by the evaluator need not be restricted to these items.

- Evaluate the immediate impact of the project on management of POPs in pilot countries and other countries in the preparation or strengthening of NIPs for the management of POPs and in determining effective national processes and measures that would reduce releases of POPs.
- As far as possible, also assess the potential longer-term impacts considering that the evaluation is taking place 7 years after initial completion date of the project. Frame recommendations to enhance future project impact. UNEP's Evaluation Office advocates the use of the **Review of Outcomes to Impacts (ROtI)** method (described in Annex 6) to establish this rating.

- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and significance of the contribution of the project outcomes to the International Waters programme, POPs and the wider portfolio of the GEF.
- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources. Did the project build on earlier initiatives, did it make effective use of available scientific and /or technical information. Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that have contributed or undermine the persistence of benefits after the project ended. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time. **Application of the ROtI method** described in Annex 6 will also assist in the evaluation of sustainability.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance. The following questions provide guidance on the assessment of these aspects:

- *Financial resources.* Are there any financial risks that have jeopardized sustenance of project outcomes? To what extent are the outcomes of the project dependent on continued financial support? Resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes
- *Socio-political:* Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance.* To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks

and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.

- *Environmental.* Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes. Would these risks apply in other contexts where the project may be replicated?

C. Achievement of outputs and activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries
- Assess to what extent the project outputs produced have the weight of scientific authority / credibility, necessary to influence policy and decision-makers, particularly at the national level.

D. Catalytic role

The catalytic role of the GEF is embodied in its approach of supporting the creation of an enabling environment, investing in activities which are innovative and show how new approaches and market changes can work, and supporting activities that upscale new approaches to a national (or regional) level to sustainably achieve global environmental benefits.

In general this catalytic approach can be separated into three broad categories of GEF activities: (1) "**foundational**" and enabling activities, focusing on policy, regulatory frameworks, and national priority setting and relevant capacity (2) **demonstration** activities, which focus on demonstration, capacity development, innovation, and market barrier removal; and (3) **investment** activities, full-size Projects with high rates of co-funding, catalyzing investments or implementing a new strategic approach at the national level.

In this context the evaluation should assess the catalytic role played by this Project by consideration of the

The three categories approach combines all the elements that have been shown to catalyze results in international cooperation. Evaluations in the bilateral and multilateral aid community have shown time and again that activities at the micro level of skills transfer—piloting new technologies and demonstrating new approaches—will fail if these activities are not supported at the institutional or market level as well. Evaluations have also consistently shown that institutional capacity development or market interventions on a larger scale will fail if governmental laws, regulatory frameworks, and policies are not in place to support and sustain these improvements. And they show that demonstration, innovation and market barrier removal do not work if there is no follow up through investment or scaling up of financial means.

following questions:

- INCENTIVES: To what extent have the Project activities provided incentives (socio-economic / market based) to contribute to catalyzing changes in stakeholder behaviours?
- INSTITUTIONAL CHANGE: To what extent have the Project activities contributed to changing institutional behaviors?
- POLICY CHANGE: To what extent have Project activities contributed to policy changes (and implementation of policy)?
- CATALYTIC FINANCING: To what extent did the Project contribute to sustained follow-on financing from Government and / or other donors? (this is different from co-financing)
- PROJECT CHAMPIONS: To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the Project would not have achieved results)?
  (Note: the ROtI analysis should contribute useful information to address these questions)

What examples are there of replication and catalytic outcomes? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Specifically:
If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.

E. Assessment of monitoring and evaluation systems.

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in *Annex 5* to this Appendix). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

- *M&E plan implementation.* A Terminal Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar); annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings; that the information provided by the M&E system was used during the project to improve

project performance and to adapt to changing needs; and that projects had an M&E system in place with proper training for parties responsible for M&E activities.

- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

F. Preparation and Readiness

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

G. Country ownership / drive-ness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating biodiversity information that catalyzed action in participating countries to improve decisions relating to the management of water resources.
- Assess the level of country commitment to the use of the information generated by NIPs process and outcomes for decision-making during and after the project, including in regional and international fora.

H. Stakeholder participation / public awareness:

This consists of three related and often overlapping processes: information dissemination, consultation, and "stakeholder" participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF-financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

I. Financial Planning

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

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding

the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.

- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP/DGEF Fund Management Officer of the project **(table attached in *Annex 2* Co-financing and leveraged resources).**

J. Implementation approach:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels (1) policy decisions: multi-sectoral national Coordinating committee and project steering group; (3) day to day project management in each of the country executing agencies.

K. UNEP Supervision and Backstopping

The purpose of supervision is to work with the executing agency in identifying and dealing with problems which arise during implementation of the project itself. Such problems may be related to project management but may also involve technical/substantive issues in which UNEP has a major contribution to make. The evaluator should assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF including:

- the adequacy of project supervision plans, inputs and processes;
- the emphasis given to outcome monitoring (results-based project management);
- the realism / candor of project reporting and rating (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- the quality of documentation of project supervision activities; and
- financial, administrative and other fiduciary aspects of project implementation supervision.

In summary, accountability and implementation support through technical assistance and problem solving are the main elements of project supervision (Annex 4).

L. Complementarity with UNEP Medium Term Strategy and Programme of Work

UNEP aims to undertake GEF funded projects that are aligned with its strategy. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS) http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf / Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected

Accomplishments articulated in those documents, complementarity may exist nevertheless. For this reason, the complementarity of GEF projects with UNEP's MTS / POW will not be formally rated; however, the evaluation should present a brief narrative to cover the following issues:

Linkage to UNEP's Expected Accomplishments. The UNEP Medium Term Strategy specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROtl analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent any contributions and the casual linkages should be fully described.

Project contributions that are in-line with the Bali Strategic Plan (BSP)[2]**.** The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.

South-South Cooperation is regarded as the exchange of resources, technology and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

The ***ratings will be presented in the form of a table***. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS = Highly Satisfactory
S = Satisfactory
MS = Moderately Satisfactory
MU = Moderately Unsatisfactory
U = Unsatisfactory
HU = Highly Unsatisfactory

2. Evaluation report format and review procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. *The ratings will be presented in the format of a table* with brief justifications based on the findings of the main analysis. Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

[2] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;

ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a Terminal Evaluation (TE) report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.

iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;

iv) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A − K above).

v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see *Annex 1* to this Appendix);

vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:

- Briefly describe the context from which they are derived
- State or imply some prescriptive action;
- Specify the contexts in which they may be applied (if possible, who when and where).

vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high quality recommendation is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when
4. Contains results-based language (i.e. a measurable performance target)
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:

1. The Evaluation Terms of Reference,
2. A list of interviewees, and evaluation timeline
3. A list of documents reviewed / consulted

4. Summary co-finance information and a statement of project expenditure by activity
5. Details of the Project's 'impact pathways' and the 'ROtI' analysis
6. The expertise of the evaluation team. (brief CV).

TE reports will also include any response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP/Evaluation Office.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou

Review of the Draft Evaluation Report

Draft reports shall be submitted to the Chief of Evaluation, UNEP. The Chief of Evaluation will share the report with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks feedback on the proposed recommendations. UNEP/Evaluation Office collates all review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

3. <u>Submission of Final Terminal Evaluation Reports.</u>

The final report shall be written in English and submitted in electronic form in MS Word format and should be sent directly to:

Segbedzi Norgbey, Chief,
UNEP Evaluation Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: +(254-20)762-3387
Fax: +(254-20)762-3158
Email: Segbedzi.Norgbey@unep.org

The Chief of Evaluation will share the report with the following individuals:

Maryam Niamir-Fuller
Director
UNEP/Division of GEF
P.O. Box 30552-00100
Nairobi, Kenya
Tel: +(254-20)762-4166
Fax: +(254-20)762-4041/2
Email: Maryam.Niamir-Fuller@unep.org

Jorge Ocaña
Task Manager - POPs
Coordination UNEP DGEF
Chemin des Anemones 11-15
Chatelaine, 1219 Geneva
Switzerland
Tel: +41 22 917 8195
Email: jocana@chemicals.unep.ch

Sandeep Bhambra
Fund Management Officer (FMO)
Division of GEF Coordination
UNEP/Division of GEF Coordination
P.O. Box 30552-00100 Nairobi, Kenya
Tel: 254 20 7623347

The final evaluation report will be printed in hard copy and published on the Evaluation and Oversight Unit's web-site www.unep.org/eou.

4. Resources and schedule of the evaluation

This final evaluation will be undertaken by an evaluation team composed of a Lead Evaluator (LE) and 2 Associate Evaluators (AE). The LE will assess project performance in Asia and Central Europe regions and be responsible for coordinating and leading the review process and, prepare the final evaluation report covering the TOR. The AE will each be responsible for undertaking in-depth evaluation of project activities in one of the regions and for production of a regional report, to be annexed to the main report.

The contract for the LE will begin on 18th January 2010 and end on 16th April 2010 (46 working days) spread over 13 weeks (10 days field visit, 14 days desk study (includes 2 days for teleconferencing /e-questionnaires) and 22 days of report writing).

The lead evaluator will submit a draft report on 19th March 2010 to UNEP/Evaluation Office. The Chief of Evaluation Office will share the draft report with the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / Evaluation Office for collation and the lead evaluator will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by 26th March 2010 after which, the consultant will submit the final report no later than 26th April 2010.

The LE will after an initial telephone briefing with Evaluation Office and UNEP/GEF, conduct initial desk review work and later travel to Geneva to meet with the GEF Task Manager –POPs and project coordinators at the beginning of the evaluation. Each AE is expected to travel to selected country offices to meet with representatives of the project, executing agencies and the intended users of project's outputs.

In accordance with UNEP policy, all UNEP projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluator will work under the overall supervision of the Chief, Evaluation Office, UNEP. S/he should not have been associated with the design and implementation of the project and should have the following qualifications:

Lead Evaluator

At least Masters Degree (or its equivalent); experience in international waters issues, capacity to assess technologies and management practices of POPs; skills in management of multi-donor funded projects (especially projects that capacity building and information sharing for policy influence and decision-making), multi-institutional and multi-sites projects; and experience with evaluation of UNEP/GEF Projects. Knowledge of and experience in developing will be an asset. Must be fluent in oral and written English. Knowledge of another UN language will be an advantage.

Annex 1: OVERALL RATINGS TABLE

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating) **Sub criteria (below)**		
A. 1. Effectiveness		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project outcomes **(overall rating)** **Sub criteria (below)**		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework and governance		
B. 4. Ecological		
C. Achievement of outputs and activities		
D. Catalytic Role		
E. Monitoring and Evaluation (overall rating) **Sub criteria (below)**		
E. 1. M&E Design		
E. 2. M&E Plan Implementation (use for adaptive management)		
E. 3. Budgeting and Funding for M&E activities		
F. Preparation and readiness		
G. Country ownership / driveness		
H. Stakeholders participation		
I. Financial planning		
J. Implementation approach		
K. UNEP Supervision and backstopping		
L. Complementarity with UNEP medium term strategy		

RATING OF PROJECT OBJECTIVES AND RESULTS

All other ratings will be on the GEF six point scale described below.

GEF Performance Description	Alternative description on the same scale
HS = Highly Satisfactory	Excellent
S = Satisfactory	Well above average
MS = Moderately Satisfactory	Average
MU = Moderately Unsatisfactory	Below Average
U = Unsatisfactory	Poor
HU = Highly Unsatisfactory	Very poor (Appalling)

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

A. Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives /or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

<u>Rating system for sustainability sub-criteria</u>

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML): There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability

Unlikely (U): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in any of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on 'M&E Design', 'M&E Plan Implementation' and 'Budgeting and Funding for M&E activities' as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system. Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

"M&E plan implementation" will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will not be higher than the rating on "M&E plan implementation."

Annex 2: Co-financing and Leveraged Resources

Co-financing (basic data to be supplied to the consultant for verification)

Co financing (Type/Source)	IA own Financing (mill US$)		Government (mill US$)		Other* (mill US$)		Total (mill US$)		Total Disbursement (mill US$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
– Grants										
– Loans/Concessional (compared to market rate)										
– Credits										
– Equity investments										
– In-kind support										
– Other (*) - - -										
Totals										

* Other is referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.

Table showing final actual project expenditure by activity to be supplied by the UNEP Fund management Officer. (insert here)

Annex 3: Review of the Draft Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report
All UNEP GEF Mid Term Reports are subject to quality assessments by UNEP EOU. These apply GEF Office of Evaluation quality assessment and are used as a tool for providing structured feedback to the evaluator.

The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	**UNEP EOU Assessment**	**Rating**
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
UNEP EOU additional Report Quality Criteria	**UNEP EOU Assessment**	**Rating**
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations (‘who?’ ‘what?’ ‘where?’ ‘when?)’. Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

GEF Quality of the MTE report = 0.3*(A + B) + 0.1*(C+D+E+F)
EOU assessment of MTE report = 0.3*(G + H) + 0.1*(I+J+K+L)
Combined quality Rating = (2* 'GEF EO' rating + EOU rating)/3
The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of terminal evaluation reports

a) 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, and unable to assess = 0.

Annex 4: Expectations regarding the role of DGEF Task Managers in GEF Project Supervision and a list of Documentation relevant for the evaluation of Project Supervision (provided to Consultant(s) by DGEF)

Project start up phase

- Pink File preparation and signature (including detailed Project supervision plan)
- Co-financing arrangements
- Bank account opened and/or information provided
- Initial cash advance
- Supervision of recruitment of Project staff
- Office set up (office space, procurement of equipment, host agreements)
- Establishment of Project steering committee and any other advisory/governing structures

Inception mission and workshop

- Preparation
- Review of institutional arrangements and Project implementation responsibilities
- Workshop including providing training (important to discuss at inception how Project will be evaluated at exit)
- First Steering Committee meeting
- Revised Project implementation, M&E or supervision plan as necessary

Project implementation

- Project financial and substantive reporting (includes audited statements, inventories of non-expendable equipment)
- Active monitoring of progress in achieving outcomes
- Liaising with co-implementing agency if applicable
- Steering committee meeting preparation and attendance
- Field visits as relevant/required
- Risk monitoring (social and environmental safeguards)
- Preparation and coordination of MTR (or support to MTE)
- Adaptive management to respond to risk and problems (includes follow up to MTR/MTE recommendations, and risk mitigation plan if applicable)
- Revisions
- Other technical assistance (e.g., output review, support to communications efforts)
- Database maintenance
- Knowledge management

Project completion

- Review/clearance of outputs
- Clearance of terminal report and review of audited financial statement
- Completion revision
- Request for disposal of equipment
- Support to Evaluation Office for terminal evaluation (review of draft evaluation TOR, Project information, comments to draft TE, completion of managent response / implementation plan, follow up on recommendations [if any])
- Knowledge management

Documents to inform evaluation of Project supervision

- Project supervision plan, with associated budget
- Correspondence related to Project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)
- Mid-term evaluation and associated action plans, (if any)
- Management memos related to Project
- Other documentation of supervision feedback on Project outputs and processes (e.g. comments on draft progress reports, etc.)

Possible additional documents;

Has a Project extension occurred?

- Extension documentation

Has a formal revision of Project activities or objectives occurred? (Beyond modifications to Project plans based on normal adaptive management procedures)

- Project revision documentation

Has a formal budget revision occurred?

- Budget revision documentation

Annex 5: Minimum requirements for M&E

Minimum Requirement 1: Project Design of M&E

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
  - a description of the problem to address
  - indicator data
  - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

SMART INDICATORS GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be "SMART":

1. **Specific**: The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

M&E during Project implementation

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving Project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.

  The Consultant(s) should use the following questions to help assess the M&E design aspects:

  SMART-ness of Indicators

  - Are there specific indicators in the log frame for each of the Project objectives and outcomes?
  - Are the indicators relevant to the objectives and outcomes?
  - Are the indicators for the objectives and outcomes sufficient?
  - Are the indicators quantifiable?

  Adequacy of Baseline Information

  - Is there baseline information?
  - Has the methodology for the baseline data collection been explained?
  - Is desired level of achievement for indicators based on a reasoned estimate of baseline?

  Arrangements for Monitoring of Implementation

  - Has a budget been allocated for M&E activities?
  - Have the responsibility centers for M&E activities been clearly defined?
  - Has the time frame for M&E activities been specified?

  Arrangements for Evaluation

  - Have specific targets been specified for Project outputs?
  - Has the desired level of achievement been specified for all Indicators of Objectives and Outcomes?

- *M&E plan implementation.* A Terminal Evaluation should verify that:

  - an M&E system was in place and facilitated timely tracking of results and progress towards Projects objectives throughout the Project implementation period (perhaps through use of a logframe or similar);
  - annual Project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
  - that the information provided by the M&E system was used during the Project to improve Project performance and to adapt to changing needs;
  - and that Projects had an M&E system in place with proper training for parties responsible for M&E activities.

- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

Annex 6 –Introduction to Theory of Change / impact pathways, the ROti Method and the ROtI Results Scoresheet

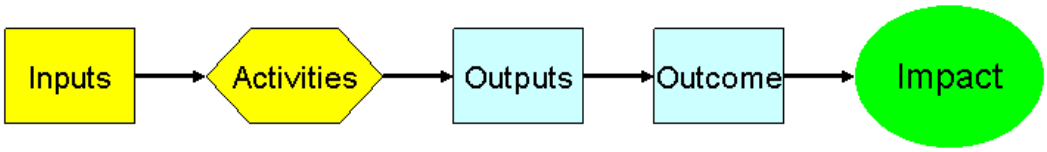
Terminal evaluations of Projects are conducted at, or shortly after, Project completion. At this stage it is normally possible to assess the achievement of the Project's outputs. However, the possibilities for evaluation of the Project's outcomes are often more limited and the feasibility of assessing Project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because Project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the Project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of Project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for Project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

Theory of Change (TOC) / impact pathways

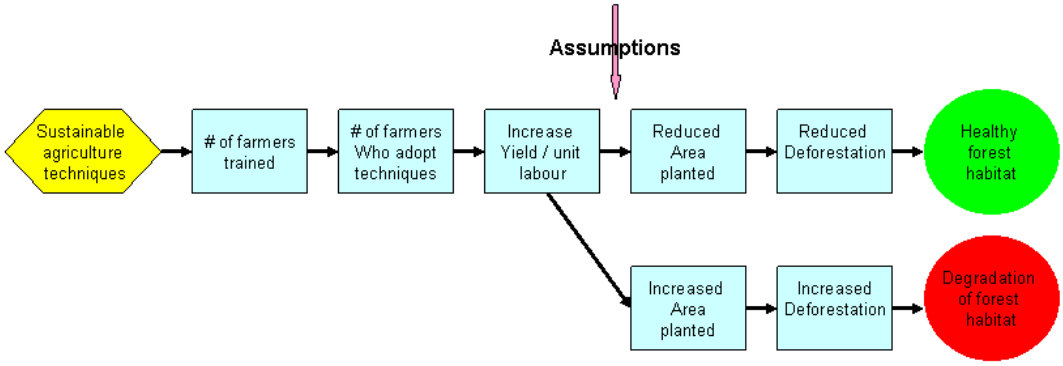
Figure 1 shows a generic impact pathway which links the standard elements of Project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both Project planning and evaluation.

Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the Project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The Project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved faming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)[3] and has three distinct stages:

a. Identifying the Project's intended impacts

b. Review of the Project's logical framework

c. Analysis and modelling of the Project's outcomes-impact pathways

The **identification of the Projects intended impacts** should be possible from the 'objectives' statements specified in the official Project document. The next stage is to **review the Project's logical framework** to assess whether the design of the Project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method[4]. The aim of this stage is to develop and understanding of the causal logic of the Project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes an are subject to time-lags, meaning that Project impact often accrue long after the completion of Project activities.

The third stage involves analysis of the 'impact pathways' that link Project outcomes to impacts. The pathways are analysed in terms of the **'assumptions'** and **'impact drivers'** that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure 3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the Project or in the short term following Project completion. **Intermediate states** are the transitional conditions between the Project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate Project outcome and the eventual impact.

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the Project / Project partners & stakeholders. **Assumptions** are the significant factors that if present are expected

[3] GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook. http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/Roti%20Practitioners%20Handbook%2015%20June%202009.pdf

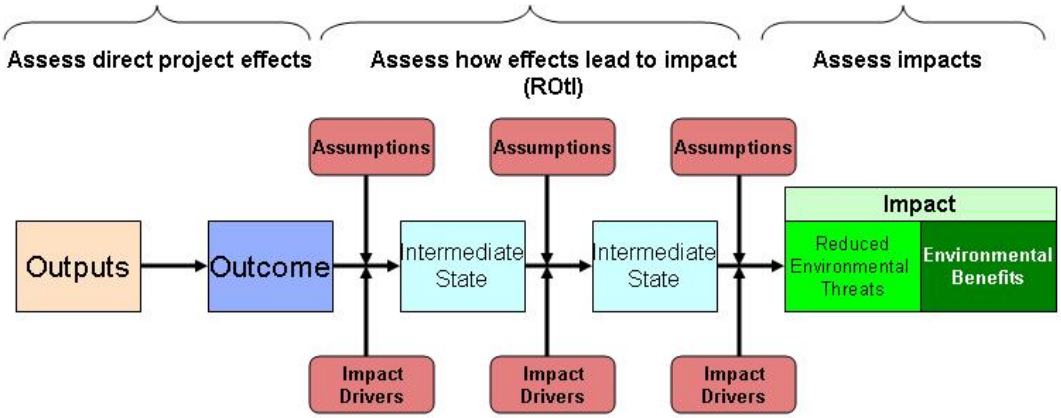
[4] Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.

to contribute to the realization of the intended impacts but are largely **beyond the control of the Project** / Project partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the Project.

Since Project logical frameworks do not often provide comprehensive information on the processes by which Project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

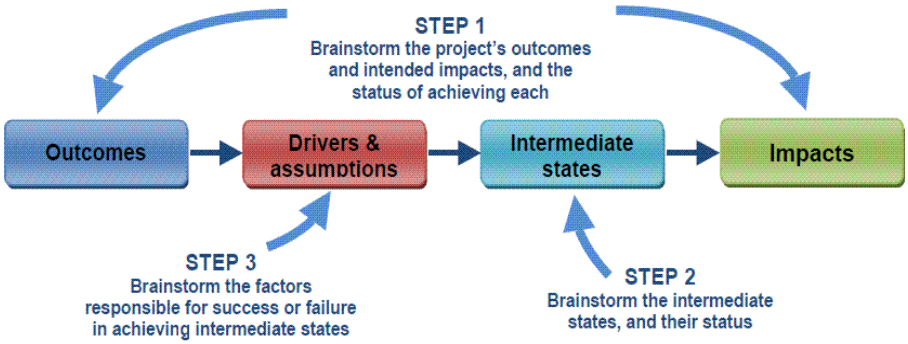
- Are there other causal pathways that would stem from the use of Project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between Project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each 'step' in the impact pathway.

Figure 3. A schematic 'impact pathway' showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009)



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the Consultant(s) or, preferably, as a group exercise, led by the Consultant(s) with a cross-section of Project stakeholders as part of an evaluation field mission or both. Ideally, the Consultant(s) would have done a desk-based assessment of the Project's theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the TOC for the Project.

Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the Project is complete the Consultant(s) can assess the design of the Project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that Project contexts can change and that adaptive management is required during Project implementation.

The ROtI method requires ratings for outcomes achieved by the Project and the progress made towards the 'intermediate states' at the time of the evaluation. According the GEF guidance on the method; "*The rating system is intended to recognize Project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be "penalized" for not achieving impacts in the lifetime of the Project: the system recognizes Projects' forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present Project building blocks.*" For example, a Project receiving an "AA" rating appears likely to deliver impacts, while for a Project receiving a "DD" this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

Table1. Rating scale for outcomes and progress towards 'intermediate states'

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

specific allocation of responsibilities after Project funding.	they can progress towards the intended long term impact.

Thus a Project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is give a '+' notation if there is evidence of impacts accruing within the life of the Project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP Project evaluations in the following way.

Table 2. Shows how the ratings for 'achievement of outcomes' and 'progress towards intermediate states translate to ratings for the 'Overall likelihood of impact achievement' on a six point scale.

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

In addition, Projects that achieve documented changes in environmental status during the Project's lifetime receive a positive impact rating, indicated by a "+". The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROtI method provides a basis for comparisons across Projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all Projects assessed, it does not imply that the results from Projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the 'results metrics' for a Project, opportunities where aggregation of Project results might be possible can more readily be identified.

Results rating of Project entitled:							
Outputs	**Outcomes**	**Rating (D – A)**	**Intermediary**	**Rating (D – A)**	**Impact (GEBs)**	**Rating (+)**	**Overall**
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.		3.		3.		
	Rating justification:		**Rating justification:**		**Rating justification:**		

Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what Project funds were used. These were not rated: Projects generally succeed in spending their funding.

Outcomes:

Outcomes, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they had gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the Project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

Examples

Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved. People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score – D)

Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because intended end users had no access to computers. People had meetings that led nowhere. Outcomes hypothesized or achieved, but either insignificant and/or *no evident linkages forward* to intermediary stages leading towards impacts. (Score – C)

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

Outcomes plus explicit linkages forward. Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy Project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

Intermediary stages:

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

"Outcomes" scored C or D. If the outcomes above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

In spite of outcomes and implicit linkages, and follow-up actions, the Project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the Project dead-ends. Outcomes turn out to be insufficient to move the Project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the Project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. **(Score = D)**

The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist. In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking Projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The Project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have Project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. **(Score = C)**

Barriers and assumptions are successfully addressed. Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The Project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

Scaling up and out over time is possible. Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

Impact: Actual changes in environmental status

"Intermediary stages" scored B to A.

Measurable impacts achieved at a globally significant level within the Project life-span. . **(Score = '+')**

Annex 4. Discussion guidelines for personal and electronic interviews

Development of NIP for POPs management

1. Did the Project build on earlier initiatives; did it make effective use of available scientific and /or technical information in the country; where the NIP components developed by in-kind expertise or by external consulting?.

2. Was the Project driving the structure of the POPs National Coordinating Committee? Of which type, governmental, multi-sectoral? Is still active?

3. What was the nature and significance of the contribution of the Project outcomes to the national POPs portfolio?

4. To what extent did the Project directly or indirectly assist policy and decision-makers to apply information supplied by the NIP-POPs in their national planning and decision-making? In particular: What long-term impacts has the Project had?

5. Are there any provisions for updating versions of the National Profile on POPs? The inventories? The NIP?

6. Does the country have the capacity to ensure the regulatory compliance towards a sound management of POPs? Should it require further assistance; technical, financial?.

7. Did the Project generate new projects; which are those presently existing?.

Country ownership / Stakeholder participation / Public awareness

1. How relevant was the Project to national development and environmental agendas, recipient country commitment, and regional and international agreements?

2. What is the level of country commitment to the use of the information generated by NIPs process and outcomes for decision-making during and after the Project?

3. Was the Project able to raise the level of stakeholder ownership to allow for the Project outcomes to be sustained? Is there sufficient public/stakeholder awareness in support of the long term objectives of the Project?

4. Were specific initiatives/mechanisms for endorsing engagement of stakeholders?. Were these mechanisms successful, and what were their strengths and weaknesses?

5. Were public awareness activities undertaken; if so, were they effective?. Are there any specific mechanisms that could be implemented to enhance participation of the civil society in decision-making processes?.

Project driving changes

1. To what extent have the Project activities provided incentives (socio-economic / market based) to contribute to catalyzing changes in stakeholder behaviors?

2. To what extent have the Project activities contributed to changing institutional behaviors?

3. To what extent have Project activities contributed to policy changes (and implementation of policy)?

4. To what extent did the Project contribute to sustained follow-on financing from Government and / or other donors?

5. To what extent have changes (listed above) been catalyzed by particular individuals or institutions (without which the Project would not have achieved results)?

6. Are there regulatory instruments to obtain a sound management of POPs at national level? What are the needs and identified opportunities to strengthen the management of POPs at national level?

7. Are there any amendments to legislation or infrastructure obtained during this Project?

8. What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the Project outcomes/benefits to be sustained?

Project preparation and readiness

1. Was Project implementation delayed, and if so, why? Were the implementation mechanisms outlined in the Project document effective and efficient?

2. Was the timeframe realistic?. Were Project's objectives and components practicable and feasible?.

3. Was the training and monitoring provided adequate; satisfactory?

4. Were the meetings/regional consultations necessary; adequately planned?

5. Was the exchange of information sufficient; timely? Were the guidelines and tools provided sound and useful; adequate to the national reality?

6. How well the management was able to adapt to changes during the life of the Project to enable its implementation?

7. How would you evaluate the work of the International Organizations that participated in the Project?

8. Was the Project cost effective or not, and why?

9. Which were the main lessons learned?

Financial resources

1. Was the financial management effective; easy to handle? Are there any aspects for improvement?

2. To what extent are the outcomes of the Project dependent on continued financial support?

3. Will be there in the future adequate financial resources for sustaining Project's outcomes?

Annex 5a. Assessing Strengths & Weaknesses (SWOT analysis matrix)

SWOT stands for strengths, weaknesses, opportunities and threats. Thereby, strengths and weaknesses characterize the present situation, from which future opportunities and threats derive. The general objective of the SWOT analysis – on the basis of (present) strengths and weaknesses analysis and (future) opportunities and threats analysis – is to identify potential advantages and an internal need for action.

The SWOT analysis exercise is followed by formulating recommendations and practical guidelines to improve performance of future projects.

SWOT matrix:

Strengths	**Weaknesses**
Opportunities	**Threats**

The SWOT analysis should be conducted pursuing the following process steps:

1. Collect all information to each aspect of the matrix.
2. Cluster the identified factors and create categories according to the significance of factors.
3. Formulate some strategic recommendations.

Annex 5b. Identifying Impacts (Review of Outcomes to Impacts – ROtI – matrix)

The aim of this review is to develop an understanding of the causal logic of the Project intervention and to identify the **Project intended impacts** and the key 'impact pathways'. The matrix below is to assist you in this analysis, reflecting your opinion in the boxes on drivers and barriers.

Outputs are concrete things reflecting where and for what Project funds were used.

Outcomes, on the other hand, are the first level of intended results stemming from the outputs**.**

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and can be influenced by the Project / Project partners & stakeholders, whereas **barriers** are factors that hamper the progress towards impacts.

Impacts are actual achievements that lead to Global Environmental Benefits.

OUTPUTS	**Inventories***	**Action plans**	**Priority settings**	**Diffusion materials**	**.....**
OUTCOMES					
Drivers ***Barriers***					
POTENTIAL IMPACTS	**Updating* procedures**	**Improved management capacity**	**Stakeholder endorsement**	**Public awareness**	**.....**

* These are suggested/illustrative indicators but you may identify others. However, the most important is to provide some comments on the potential drivers and barriers.

Annex 6. List of interviewees, and evaluation timeline

January- February 2010

Emailing of Work planning and Guidelines for Discussion between the Lead Evaluator and the Associate Evaluators.
Teleconference with the UNEP Evaluation and Oversight Unit (Nairobi, Segbedzi Norgbey and Michel Spilsbury) and the Associate Evaluators.
Arrangement of visits to Geneva, Zambia, Mali, Chile, Ecuador, Lebanon and Malaysia by E-mail and telephone calls to the Institutions.

1-2 February 2010

Visit to UNEP Chemicals – Geneva
Collection of documents and discussion of technical and financial aspects with
Jorge Ocaña - Project manager
David Piper - Project manager
Heidlore Fiedler - Project manager

Emailing of questionnaires to Pilot countries

15-18 February 2010

Visit to Bamako (Mali) and interviews with:
Halima Kone-Traore, Chef de Service, Controle Qualite de Vaccins, Laboratoire Central Vétérinaire
Sable Diarra, CropLife-Mali
Siriman Kanoute, Chef Section Etudes et Statistiques, l'ANGESEM, Point Focal, Comite de Gestion des POPs
Lamin Thera, former Point Focal, NIP/POPs Project
Modibo Sacko, DNACP Coordinator, Ozone Program
Oumar Diouure Cisse, Point Focal, SAICM-Mali
Balla Cissoko, Point Focal, NIP/POPs Project, DNACPN
Guondo Sissoko-Kouyate, PSC Member, Coordination des Associations et ONG Feminines CAFO

16-17 February 2010

Visit to the Ministry of Environment, Beirut, Lebanon
Vahakn Kabakian – Project manager
Sabine Ghogn – POPs Focal point
Samar Khalil – UNDP Project manager
Nada Sabra – National Coordinator POPs-PCBs Project

Visit to the American University of Beirut
Carol Sukhn – Research Associate & Environmental core supervisor
Asma Bazzi – Environmental Policy Planning

17-19 February 2010

Visit to Ministerio del Ambiente, Quito, Ecuador
- Maricruz Hernández –Project manager and POPs Focal point
- Patricia Vinueza – Project collaborator
- Eduardo Espín – I National Coordinator NIP-POPs
- María de Loudes Maya – National Coordination Committee (NCC)

Interviews with:
- Ricardo Tapia – II National Coordinator NIP-POPs (FAO)
- Miguel Costales - President of NCC (Asociación de Productores de Pinturas Resinas y Químicos del Ecuador)
- Mario Cisneros - NCC (Ministerio de Agricultura, Ganadería, Acuacultura y Pesca)
- Alonso Moreno – NCC (CONELEC)
- Patricio Oliva – NCC (CONELEC)
- Carola Resabala – PCBs and Dioxins – Furans Inventories (Escuela Superior Politécnica del Ecuador)

15-18 March

Visit to Zambia, and interviews with:
- Felix Mwangala, NISR, Chilanga
- Margaret Mazhamo, National Food and Drugs Control Laboratory, Ministry of Health, Lusaka
- Samuel F. Banda, Dean, Natural Sciences, University of Zambia, and Chair, NCC, Lusaka
- Aloysius Yeta Mundia, Department of Chemistry, University of Zambia, Lusaka
- Chadwick Haadezu Sikala, National Malaria Control Centre, Lusaka
- George Mukosiku, Chief Inspector of Factories (OH), Ministry of Labour and Social Security, Lusaka
- Nosiku S. Munyinda, Lecturer, Environmental and Occupational Health, School of Medicine, University of Zambia (former ECZ employee and member of the NCC Secretariat), Lusaka
- Mellon Chinjila, Environmental Coordinator, KNBEPC Limited, Lusaka
- David Kapindula, ECZ, and former NIP/POPs Project Coordinator (interviewed by phone), Lusaka

19 March 2010

Decision to cancel the visit to Malaysia. Starting arrangements for visiting Bulgaria.

23-24 March 2010

Visit to Comisión Nacional del Medio Ambiente de Chile (CONAMA) Santiago, Chile
- Lorenzo Caballero –Project manager, I National Coordinator NIP-POPs
- Alejandra Salas – Chemicals Unit Coordinator, POPs Focal point
- Germán Corey – External consultant
- Roberto Martínez – NCC

Visit to Ministry of Health (Department of Environmental Health), Santiago, Chile
Pamela Santibáñez - NCC
Visit to Red de Acción contra Plaguicidas para América Latina (RAPAL)
María Elena Rozas - NCC
Visit to FAO, Santiago, Chile
Vicente Ossa – ex-UNDP official

26-28 April 2010

Visit to Ministry of Environment and Water (MOEW), Sofia, Bulgaria
Nikolai Savov – Head of the Hazardous Chemicals Department
Tsvetanka Dimcheva - National Focal Point of the SC.
Balkan Science Education Center of Ecology and Environment
Ivan Dombalov – Director
Evgeni Sokolovski – Project manager

Additional correspondence:

Barbados:
Jeffrey Antony – Head of Environment Protection Department,
Ministry of the Environment Water Resources and Drainage
Malaysia:
Marliana Bt. Mohsin - Assistant Secretary
Conservation and Environmental Management Division,
Ministry of Natural Resources and Environment
Papua New Guinea:
Katrina Solien – National Coordinator
Department of Environment and Conservation
Slovenia:
Vesna Ternifi - Under Secretary
Department of Environment Health, National Chemical Bureau,
Ministry of Health

Annex 7. A list of documents reviewed / consulted

Project proposals:

Project document "Regionally Based Assessment of Persistent Toxic Substances (RBA PTS)". (GEF/UNEP, 2002)

Project document "Assessment of Existing Capacity and Capacity Building Needs to Analyse POPs in Developing Countries" (GFL / 2328-2760).

Project document "Development of National Implementation Plans for the Management of Persistent Organic Pollutants" (GF/4030-02-03).

Sub-project documents for the 12 countries.

Project proposals for enhancing public awareness (small grants).

Project proposal "Action Plan Training / Skills Building for 25 Least Developed Countries to assist with National Implementation Plan Development under the Stockholm Convention"

Administrative Reports and correspondence:

Expenditure reports of the 12 countries and the umbrella project.

Financial Reports, including Final Audit reports of all countries.

Correspondence regarding Supplementary budget requests, Budget revision and extension of projects, small grants requests, closing the project and request of reports, etc.

ToR and Consultancy contracts with individuals for the fact-finding missions, training courses, Inspection visits, preparation of manuals, translation of documents, etc.

Memorandums of understanding between Institutions for organizing training Workshops.

Minutes of the 1st Steering Committee Meeting. Geneva, 26-27 June, 2003

Minutes of the 2nd Steering Committee Meeting. Geneva, 3-4 October 2005

Minutes of the 3rd Steering Committee Meeting. Geneva, 21-23 March 2007

Minutes/Reports of the Regional Workshops.

Progress Reports:

Quarterly reports of the 12 countries

UNEP GEF PIR FY 06 (1 July 2005 to 30 June 2006)

UNEP GEF PIR FY 07 (1 July 2006 to 30 June 2007)

UNEP GEF PIR FY 08 (1 July 2007 to 30 June 2008)

UNEP GEF PIR FY 2009 (1 July 2008 to 30 June 2009)

Final Reports:

Terminal Reports of the 12 countries sub-projects.

Terminal Reports for the Small Grants Projects.

Country presentations at the 3rd Steering Committee Meeting.

Technical Reports and guidelines:

Regionally Based Assessment of Persistent Toxic Substances (RBA PTS). Global Report. UNEP. 2003.

Terminal Evaluation of the project "Assessment of Existing Capacity and Capacity Building Needs to Analyse POPs in Developing Countries" (GFL / 2328-2760). Evaluation and Oversight Unit. February 2009.

Mid-term evaluation of the project "Development of National Implementation Plans for the Management of Persistent Organic Pollutants (POPs)". Evaluation and Oversight Unit. September 2004.

National Implementation Plans of the 12 countries.

POPs inventories of the 12 countries.

NIPs Guidance Document. UNITAR – IOMC. 2002.

Technical guidance document on the use of socio-economic analysis in chemical risk management decision making. IOMC, 2002.

Preparing/Updating a National Profile as Part of a Stockholm Convention National Implementation Plan. UNITAR – IOMC. 2002.

Interim guidance for developing a national implementation plan for the Stockholm Convention. UNEP – World Bank. 2003

Guidance on the development of Action plans and strategies under the Stockholm convention. UNITAR – UNEP. 2004.

Guidance Note for Organizing a National Priority Setting Workshop for the Sound Management of Chemicals Training Seminar on Project Coordination and Management. UNITAR – IOMC. 2005.

Guidance on Action Plan Development for Sound Chemicals Management. UNITAR – GEF - IOMC. 2005.

Guidelines for Developing and Sustaining an Integrated National Programme for Sound Chemicals Management. UNITAR - UNEP, ILO, FAO, WHO, UNIDO, OECD, OPCW, Basel Convention and IFCS.

Guidance sets for Inventories and Action Plans for POPs, POPs Contaminated Sites Survey and Action Plan, Monitoring of Releases and Environmental Health Impacts Survey and Action Plan, Reporting of POPs Information, etc... UNEP – World Bank.

Developing a communications strategy for National Implementation Plans (NIPs) under the Stockholm Convention on POPs. UNEP. 2005.

Guidance for Socio-Economic Assessment for National Implementation Plan Development and Implementation under the Stockholm Convention. GEF- UNEP. 2007.

Facts Finding Mission reports. UNEP. 2006.

Global report on Lessons Learned and Good Practice in the Preparation of the National Implementation Plans (NIP) on Persitant Organic Pollutants. UNEP – GEF. 2006.

Towards Enhancing the Impacts of Environmental Projects. The ROtI Handbook.
GEF Evaluation Office—Conservation Development Centre
OPS4 Methodological Paper # 2. August 2009-09-29

Communication and outreach

Posters produced and other printed material.

Annex 8. Evaluation of projects of individual countries

-Barbados

The project was executed by the Environmental Protection Department, Ministry of Energy and the Environment in coordination with the NCC comprised of government, industrial and academia representatives, trade unions and nongovernmental organizations.

The process for preparing the POPs inventories was extremely slow since the country had no databases or monitoring programs with the information required, making it impossible to achieve the objectives proposed within the established period. The country made a thorough assessment of the information collected and identified 14 priority tasks towards compliance with obligations under the Stockholm Convention. The results of the inventories were made available to stakeholders.

Delays in transfer of funds and the time involved in public consultations, among other problems, were some of the obstacles encountered in attempting to carry out the project within the programmed timeline. It took 3½ years (from September 1, 2002 to March 31, 2006) for the NIP to be finalized, and some of its products were not obtained satisfactorily: a) Assessment of social and economic implications of POPs use and reduction; b) Assessment of the costs and benefits of management options; and c) Preparation of initial funding request package for implementation, including costs estimates and incremental costs.

A summary of the NIP was submitted to public consultation with the idea of generating recommendations and commitment to its application, but the response was not the best, making it necessary to hire a consultant to conduct interviews with potential executing entities. The observations were incorporated in the final document. The NIP was presented to the Ministry of Energy and Environment, approved at the level of the Ministerial Conference, and submitted to the SC Secretariat in December 2007.

The NIP assigned responsibilities in and outside the government agencies, but the challenge is enormous. National capacity for environmentally wise management of chemical products is limited; there are many obligations but little availability on the part of government staff. Resources budgeted for NIP amount to US$ 300,505, and although there is commitment from the government as signatory to the Stockholm Convention, successful implementation of the plan will depend on the availability of external technical and financial assistance in several key areas, including management and disposal of stocks of POPs and wastes, promotion of Best Available Techniques and Best Environmental Practices, and the formation and training of people and agencies involved in POPs management and regulation.

After the finalization of the NIP preparation it had become evident that Barbados lacks an overall, coordinated framework of legislation to control import, export, production, sale, transport, storage, use and disposal of chemical products, except for pesticides. Likewise, there is no solid legal basis for control of PCBs or emission of pollutants such as dioxins and furans. One very positive aspect was that the Council of Ministers would approve a policy for the formulation and introduction of an Environmental Management Act (EMA).

From what can be gathered from the final report and the NIP itself, UNEP-DGEF technical and financial assistance in Barbados was not the timeliest. Technical response was not immediate and there were significant delays in disbursements. The perception was that more feedback should have been provided with respect to quarterly reports in order to anticipate problems and apply corrective measures.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	Barbados presented its NIP on December 2007, but did not obtain all of the products proposed in the PRODOC.	MS
A. 1. Effectiveness	The project's effectiveness was not the best given that not all products were generated successfully. Action plans were generated under a logical framework analysis, in which feasible and not very ambitious actions were planned.	MS
A. 2. Relevance	The project improved national capacity and helped raising awareness in different sectors on the problem of POPs. Several aspects of the NIP reinforced the National Policy of Sustainable Development and this could produce substantial improvements in the overall situation of managing chemicals in the country.	S
A. 3. Efficiency	Efficiency was relatively low considering how much time it took (42 months) to prepare the NIP, which was longer than initially envisioned for the project and given that some of the proposed products were not presented.	MU
B. Sustainability of Project outcomes (overall rating)	Successful implementation of the NIP will depend on the availability of technical and financial assistance from international donors in key areas of rational POPs management. National capacity is limited.	ML
B. 1. Financial	Efforts have been made towards compliance with commitments acquired with the signing of different environmental accords on chemicals, but the needs are many in different areas and human resources available are few.	ML
B. 2. Socio-Political	The NIP was endorsed by the Cabinet so a commitment for its implementation was created on the part of the national authorities, but international support is expected in order to continue executing actions.	ML
B. 3. Institutional framework and governance	Support exists at the level of governmental policies.	ML
B. 4. Ecological	Different sectors were informed and made aware of the POPs problem, but sustainability will depend on follow through during NIP implementation.	ML
C. Achievement of outputs and activities	Most of the activities proposed were carried out and capacity was created for continuing the work, but follow-up on products once the project finalized is unknown.	S
D. Catalytic role	The project has been successful in several aspects that could be taken as a reference for other countries of the region with similar technical and political conditions and problems.	MS

Criteria	Evaluator's Summary Comments	Evaluator's Rating
E. Monitoring and Evaluation (overall rating)	In Barbados' perception, there was little feedback from UNEP on the project and quarterly reports. Closer communication would have improved country performance in executing the project.	MS
E. 1. M&E Design	The M&E design was adequate and was executed, but not in the best way.	S
E. 2. M&E Plan Implementation (use for adaptive management)	The M&E was carried out periodically through progress reports. These were assessed by the UNEP but observations were minimal according to what was expressed by the country.	S
E. 3. Budgeting and Funding for M&E activities	The project has not allocated resources specifically for M&E. This was done as part of the tasks of the UNEP Task Manager.	MS
F. Preparation and readiness	Although the theme of POPs was not totally known in the national sphere, there was growing interest in the different sectors represented in the NCC, and the project had the necessary support to try and reach the objectives proposed.	S
G. Country ownership / driveness	The project was relevant to the national POPs agenda, but country ownership was rather weak.	MS
H. Stakeholders participation	Stakeholder participation in the NCC was very good. Each representative committed to the formulation of the Plan. The Barbados NIP staked on providing continuity for this coordination mechanism through a national committee that provides guidance and supervision for the application of Stockholm, Basilea and Rotterdam Conventions.	HS
I. Financial planning	The project was audited in 2007 and according to the financial auditor the statements on expenses and unused balances reasonably present the financial situation of the project's development.	S
J. Implementation approach	The products obtained were used to improve formerly weak POP management at the national level, although use would have been greater if all of the proposed activities had been carried out.	S
K. UNEP Supervision and backstopping	Barbados' perception is that UNEP supervision was diligent but not very effective since not enough technical support was provided, nor provided right away.	MS

-Bulgaria

The project was executed by the Ministry of Environment and Water (MoEW) in collaboration with a National Coordinating Committee (NCC), comprising other Ministries; the State Agencies; the Bulgarian Chambers of Commerce and Chemical Industry; academic Institutions; and NGOs. The whole sub-project team's performance and both internal and countrywide cooperation with POPs stakeholders was excellent.

The preparation of the NIP was supported by a strong governmental environmental policy commitment. More than 110 professionals from private and public sector and academics were involved. Seven Workshops were organized for training experts and awareness rising, receiving a large attendance. Finally, the NIP was completed and endorsed in March 2006 and officially submitted to the Convention Secretariat on September 2006. Bulgaria also hosted the Regional Workshop (CEE) on Lessons learnt and Good practice on NIPs.

The different NIP components are of very high quality. Two relevant assessment studies on health and environmental impacts of POPs in Bulgaria were produced. Some of the inventories are annually updated. Bulgaria is planning in the next months to start the procedure for updating the NIP.

Moreover, during April-June 2006, the Balkan Science and Education Centre of Ecology and Environment (BSECEE, Sofia) was in charge for implementing a POPs information and public awareness raising activity, with gender focus on young people and target groups of local communities, under a Small Grant of the Umbrella component. Seven Seminars/Round tables were organized, where more than 400 people - students, professionals, general population of urban and rural areas - participated. A number of leaflets and brochures were prepared, published and widely disseminated to the Academia and General Public.

A newly designed web page for Hazardous Chemicals Management is in place in the MoEW [http://www.chemicals.moew.government.bg/chemical/jsp/mainPage.jsp] containing all relevant information in regard with POPs issue, including all popular POPs brochures.

In summary, all the objectives, planned activities and results expected were successfully achieved, adding even activities not envisaged in the original project document. The project generated positive impact on all the multi-stakeholder agencies, government ministries and non-governmental organization participants. Country ownership and commitment, understanding of what needs to be done and POPs management issues, as well as political willingness to take timely actions are all clearly evident. A number of factors were determinants in this success, namely interest and engagement of MoEW and multi-sector NCC, strong involvement of National POPs Team, NCC, Academia and NGO organizations, establishment of competent working groups to prepare the diverse components of the NIP, and UNEP Chemicals support, through the organization of workshops and delivery of guidelines. However, some issues slowed down the efficiency, like the unrealistic project timeline and budget frame that required proper revision.

Since the end of the project, experts from MoEW are currently participating in Workshops on POPs, with presentations on lessons learned and good practices in the preparation of the NIP. Regarding sustainability, from March 2006, Bulgaria has been implementing the activities included in NIP Specific Action plans for POPs pesticides, PCBs in equipment and POPs releases [Dioxin/Furan emissions] with national funding allocated from state budget.

At the end of the project, Bulgaria became Member State of the EU, so that followed the EU legislation on POPs, transposing the requirements of the Stockholm Convention and fulfilling all the reporting obligations.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	The NIP was produced in time and with high quality. The NIP components were developed both by in-kind governmental expertise and by external consulting.	HS
A. 1. Effectiveness	The project was developed using effectively the available national scientific and/or technical information. The project was effective in documenting the situation of the country and setting priorities.	HS
A. 2. Relevance	The Project outcomes contributed to reinforce national policies and to implement the Stockholm Convention.	HS
A. 3. Efficiency	The objectives, planned activities and results expected in the project were totally fulfilled, adding even activities not envisaged in the original project document.	HS
B. Sustainability of Project outcomes (overall rating)	Sustainability of the outcomes are linked to the fact that Bulgaria became a State Member of the EU in 2007.	L
B. 1. Financial	No international funding is expected for reviewing and updating the NIP. It will be done with funding from state budget.	L
B. 2. Socio-Political	Benefits will continue based on the established relationships among the National Coordinating Team of the Project and public, academic and NGOs organizations, through the NCC.	L
B. 3. Institutional framework and governance	The project achievements will be sustained by the EU institutional framework and governance on POPs.	L
B. 4. Ecological	A number of activities have been conducted since the end of the project. Since 2007, a GEF funded Programme office is located in Sofia where a number of NGO's projects are implemented on POPs issue to raise public awareness.	L
C. Achievement of outputs and activities	The project achieved its expected outputs. All activities and actions indicated in the NIP are under implementation.	HS
D. Catalytic Role	Project activities provided incentives to contribute to catalyzing changes in stakeholders behaviour in order to fulfil their obligations in compliance with follow-up national regulatory framework and EU legislation (municipalities, PCB equipment holder and industrial companies from energy, chemical industry and metallurgy sectors).	S

Criteria	Evaluator's Summary Comments	Evaluator's Rating
E. Monitoring and Evaluation (overall rating)	In general, UNEP monitoring and evaluation was efficient and supportive. The submitted reports were excellent.	S
E. 1. M&E Design	The design of M&E was adequate and it was executed in a timely manner.	S
E. 2. M&E Plan Implementation (use for adaptive management)	M&E was done periodically through progress reports. These were assessed by UNEP and accompanied by observations when necessary.	S
E. 3. Budgeting and Funding for M&E activities	The project did not assign resources specifically for M&E, which were assumed as part of the tasks of the UNEP Project Manager.	S
F. Preparation and readiness	The initial Project timeframe was not realistic, but it was conveniently adapted. The training provided by UNEP was adequate and satisfactory. The regional meetings were also adequately planned. The exchange of information was sufficient and quite helpful, but not always timely delivered.	MS
G. Country ownership / driveness	The project was quite relevant and efficient to the development of environmental agendas and national commitment on POPs issue.	S
H. Stakeholders participation	An extended multi-sectoral NCC was created for the project execution. More than 100 professionals were involved in the process. Private companies and municipalities were also responsive.	HS
I. Financial planning	Funds were soundly managed. Financial reports have been satisfactorily submitted in time. An additional budget was requested and approved to allow the accomplishment of the planned activities.	S
J. Implementation approach	The project was executed according to the plans, although the time schedule was to be revised and adapted to the workload.	HS
K. UNEP Supervision and backstopping	The Work of UNEP has been qualified by the project coordinator of excellent, efficient, helpful and competent.	HS

-Chile

The Project was executed by the National Commission on Environment (Comisión Nacional del Medio Ambiente - CONAMA), which also functioned as focal point of the Stockholm Convention, in coordination with the NCC, where public and private sectors, academia and nongovernmental organizations were represented. The joining together these sectors is rarely achieved and in the present case was highly successful. Specific technical working groups were organized for conducting the different studies.

The contribution of NGOs was essential. Participation in the NCC provided the opportunity to integrate their observations in the country position, particularly in relation with the environmental and health effects of POPs.

The preparation of the NIP was based on Chilean environmental policy, whose conceptual foundation is sustainable development and whose fundamental principles are public participation, prevention, gradual change, realistic objectives, efficient measures and processes and coordination of all parties involved.

Preliminary inventories of pesticides, PCBs, and dioxins and furans were finalized successfully, though it should be stressed that like other countries in the region, Chile has reservations about the emission factors proposed in the Toolkit. Inventory results were used as input to create action plans, which were formulated as specific project proposals. The NIP contemplates identifying laboratories which in their time had the capacity to analyze POPs, with the exception of dioxins and furans for which capacity is limited.

In the frame of the project, eleven inventory and study outputs were obtained, two of them not included in the initial proposal but of great relevance for the country and for the interests of the project. In all cases, the outputs were considered high quality, thus surpassing initial expectations. Likewise, the lessons learned were of great value for the different sectors concerned by the POPs issue.

The NIP prepared was disseminated and submitted to a public consultation processes through workshops and seminars offered in different regions of the country, with the participation of around 900 people from government, business, academia and civil society sectors. The NIP was finally endorsed by the government.

Chile was one of the first countries to conclude the NIP at the end of 2005 and launch the implementation phase in 2006, obtaining excellent results within the period proposed. The estimated cost of executing all activities outlined in the action plans over a five-year period was $4,514,145. To date most of the objectives have been reached with resources from the government, State enterprises and the private sector. Only two of the outputs have been funded by the World Bank.

Chile does not have the technology for suitable disposal of POP stocks, but the State and business sector have made great financial efforts to eliminate pesticides and oils contaminated with PCBs by sending them outside the country.

UNEP monitoring and evaluation was timely and efficient, as reflected in the objectives attained by the country during the project's execution, always under the supervision of this program. UNEP also provided technical support and encouraged transfer of knowledge and experiences among the countries of the region. UNDP supported the project's operational implementation

since UNEP has no presence in Chile. Through this alliance, the project gained greater smoothness than it might have if funds had been administered by an entity outside the UN.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	Chile complied satisfactorily with all required objectives in the PRODOC. The NIP was based on Chilean environmental policy whose conceptual base is sustainable development and whose fundamental principles are: public participation, prevention, gradual change, realistic objectives, efficiency of measures and processes and coordination of all parties involved.	HS
A. 1. Effectiveness	The project was effective in preparation of the NIP and action plans that were formulated as specific project proposals. This makes it easier to obtain resources for their implementation, now in the final year with excellent results.	HS
A. 2. Relevance	The outcomes derived from this project reinforced pre-existing national policies. Formulation of the NIP encouraged environmental awareness within the business sector, where response was very positive.	HS
A. 3. Efficiency	Although the expected outputs were obtained, including two additional studies, the period of implementation (41 months) was longer than initially envisioned for the project.	MS
B. Sustainability of Project outcomes (overall rating)	As planned, since 2006 the implementation phase of the NIP has initiated with national funding from the government and State businesses, as well as contributions from the business sector. Only two outputs were executed with support from international agencies such as the World Bank. Thus far there is a high percentage of implementation.	L
B. 1. Financial	In Chile the response of government authorities, especially CONAMA, and the business sector has been exemplary. These inputs have financed a good part of the implementation of the proposals (action plans) detailed in the NIP.	L
B. 2. Socio Political	The political, technical and social backing of the State and private sector, as well as from NGOs, is evident in the high percentage of NIP implementation to date.	L
B. 3. Institutional framework and governance	Political commitment exists to provide sustainability for NIP outcomes. This is confirmed by the past ratification of the Stockholm Convention, and endorsement of the NIP by the CONAMA Directing Council, comprised of 14 ministers.	L

Criteria	Evaluator's Summary Comments	Evaluator's Rating
B. 4. Ecological	Environmental awareness has been stimulated in the different sectors, but its sustainability will depend on follow-up during NIP implementation.	L
C. Achievement of outputs and activities	The proposed activities were carried out and the expected outcomes were obtained. Implementation of the NIP since 2006 reflects the continuity given to outputs once the project finalized.	HS
D. Monitoring and Evaluation (overall rating)	In general, UNEP monitoring and evaluation was quite expeditious. The quality of the Chile reports was excellent.	HS
D. 1. M&E Design	The design of M&E was adequate and it was executed in a timely manner.	HS
D. 2. M&E Plan Implementation (use for adaptive management)	M&E was done periodically through progress reports. These were assessed by UNEP and accompanied by observations when necessary.	HS
D. 3. Budgeting and Funding for M&E activities	The project has not assigned resources specifically for M&E, which has been assumed as part of the tasks of the UNEP Task Manager.	S
E. Replicability/Catalytic Role	The high quality of the outcomes obtained during execution makes it totally replicable in other countries of the region with similar social, technical and political problems.	HS
F. Preparation and readiness	Since the project first began, reference was made to the interest in different sectors (government, business, academia, civil society, etc.) working together to reach the objectives of the NIP. The outcomes obtained reflect the country's true situation.	S
G. Country ownership / drivenness	For years there has been a commitment in Chile to regulate the use of POPs, especially Annex A pesticides, and use of PCBs in transformers, but not for other uses. Regulatory strengthening is being contemplated as a result of the NIP's preparation. During implementation and to date, an important series of binding instruments has been developed aimed at reducing agricultural burns and release of dioxin and furans into the air, preventing forest fires, regulating management of hospital residues, and others. All of these instruments are supported by the CONAMA Ministers Council.	HS
H. Stakeholders involvement	Stakeholder involvement was high in Chile, and not just at the level of the NCC. Specific working groups were created with professionals that worked on reaching the expected outputs. These were coordinated by	HS

Criteria	Evaluator's Summary Comments	Evaluator's Rating
	a Team Leader. NGO representation in the project was exemplary and citizen participation was continued in all the activities; they had the opportunity to influence all decisions made and to do information and awareness-raising work with vulnerable groups, including women and children. Significant linkage was achieved between government authorities, academia and the business sector.	
I. Financial planning	The financial proposal detailed in the project document was not very realistic in terms of country interests and had to be reformulated and adjusted in line with national needs, in search of quality outputs. Two additional outputs were also developed, and were approved by the NCC. Since these funds were administered by the UNDP no financial audit was made.	HS
J. Implementation approach	All of the activities proposed in the PRODOC were executed satisfactorily by the project, as well as some others not contemplated initially. The outcomes obtained were used to improve management of POPs at the national level, thereby reinforcing already existing policies and generating new regulations where gaps existed.	HS
K. UNEP Supervision and backstopping	From what can be inferred from the progress reports, UNEP supervision was diligent and timely. UNEP also provided technical support toward obtaining objectives, facilitating transfer of knowledge and experiences among the countries of the region.	HS

-Ecuador

The project was executed by the Ministry of Environment in collaboration with the National Coordination Committee formed by government authorities, private sector, civil society, trade unions and NGOs. The coordination mechanism was very successful but currently is operating only sectorally, with working groups on PCBs, pesticides, PCDD/PCDFs.

The inventories were not completely comprehensive due to insufficient budget which made impossible to make an exhaustive inventory at national level. The pesticides and the PCBs inventories were performed according with the established guides. In the Dioxins and Furans Inventory, some divergences were found on the emission factors proposed in the Toolkit. Presently, the country is working in the development of emission factors adequate for sugar cane and rice husk.

Regarding the impact of POPs in people's health and the environment there is are no records about the real exposure on these products; there is only an estimation based on the preliminary inventories. One positive advance has been the request of emissions reports for the industry sector.

National workshops were organized in order to determine priorities and establishing objectives. The top priority identified was PCBs management, followed by pesticides management, reduction of non intentional POPs emissions and clean up/management of polluted places. The national priorities were included in the country's National Environmental Policy and the Good Health National Plan (2010-2013).

The final NIP document was publicly consulted through seven workshops in different cities of the country where more than a thousand of people from different sectors participated and finally endorsed by the Minister for the Environment, Minister of Labor, Minister of Public Health and Minister of Agriculture and Livestock on 30th March 2006. In 2009 a second version of NIP was developed with the support of the Swiss Agency for Development and Cooperation and Natura Foundation with a cost of US$ 35,000. In this second version, the initial strategy was adjusted, the observations made by the Convention Secretariat were compiled and the national priorities were defined more specifically. This update is part of the commitments acquired with the ratification of the Stockholm Convention.

The NIP assigns responsibilities to the different ministries that count with the technical capacity to fulfill their obligations; however, their resources are limited and external financial support is needed, up to 65% of the total implementation budget (11,008,843 USD).

There are also important advances in Ecuador in terms of POPs legislation, the most important being made through Ecuador's New Constitution that makes specific reference to POPs in its Article 15.

Access to the "Small Project" fund was key for the development of the project as well as the regional collaboration between Peru, Colombia and Ecuador. Prevention campaigns, dissemination and POPs awareness raising were undertaken with these funds. In both cases important economic in-kind support was provided by the national NGO's.

According with the progress reports and the mid-term evaluation, the UNEP backstopping to Ecuador was diligent and appropriate. This program also provided technical support in order to achieve the objectives, facilitating the transfer of knowledge and experiences from countries of the region. Regarding the financial reports, the audit for the project made in 2009 indicates that the

budgets were not formally endorsed with signatures showing their approval, revision and execution from the financing organization.

Finally, it is important to emphasize that even though some obstacles delayed the completion of the project, results overcome the expectations of the country on POPs management; and lessons learned have been considered enormously valuable.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	Ecuador has complied with the objectives in the PRODOC and expected outcomes were satisfactorily achieved.	S
A. 1. Effectiveness	The development of the NIP and action plans was effective. More work is needed to develop applications to international funds for the implementation of the NIP.	HS
A. 2. Relevance	The results of the Project have been the basis to mainstream POPs management into National Environmental Policies.	HS
A. 3. Efficiency	Although the expected results were achieved with this project, the execution period (4 years) has exceeded the original timeframe of the Project.	S
B. Sustainability of Project outcomes (overall rating)	International cooperation is very important for the implementation of the NIP. However, the integration of POPs management in the National Environmental Policy and in the National Plan for Good Living (2010-2013), will ensure that some national resources are used on developing infrastructure and national capacities on this topic.	L
B. 1. Financial	This NIP mostly seeks for external resources for its implementation, since national funds are limited and there are many other priorities at national level.	L
B. 2. Socio-Political	The Stockholm Convention was ratified and the NIP was endorsed by 4 Ministers. A governmental support for the NIP implementation is observed, which could be reflected in contributions for its partial implementation.	L
B. 3. Institutional framework and governance	National policies support POPs management.	L
B. 4. Ecological	Raising environmental awareness was undertaken in the different sectors. However, follow-up will depend on activities undertaken during implementation of the NIP.	L
C. Achievement of outputs and activities	The proposed activities were carried out and outcomes were obtained, but no continuity is provided for outputs once the project is finalized.	MS

Criteria	Evaluator's Summary Comments	Evaluator's Rating
D. Catalytic role	The Project could be replicated in other countries of the region that have similar social, technical and political situations or problems.	S
E. Monitoring and Evaluation (overall rating)	UNEPs evaluation and monitoring process was quite appropriate. There was an initial lack of coordination among UNEP Chemicals and DGEF Financial Office, but this was corrected on time.	S
E. 1. M&E Design	M&E was appropriately designed and it was adequately executed.	S
E. 2. M&E Plan Implementation (use for adaptive management)	The M&E was undertaken periodically, in each progress report. These reports were evaluated by UNEP and comments were provided when necessary.	S
E. 3. Budgeting and funding for M&E activities	The project did not assign resources specifically for M&E, which has been assumed as part of the tasks of the UNEP Task Manager.	MS
F. Preparation and readiness	The Project was well received by the different sectors at national level and the results reflect a very comprehensive overview of the national situation.	S
G. Country ownership / driveness	The project results have been a very good basis to promote POPs management through national policies.	HS
H. Stakeholders involvement	This is one of the best achievements of the Project. Stakeholders' involvement was absolute and consequent with decision-making throughout the Project execution. Stakeholders are very interested in reactivating the Coordinating Committee.	HS
I. Financial planning	Initial financial planning was not adequate and required some adjustments. According to the financial audit at the end of the Project (2009), the financial reports show an adequate execution of funds for 2002-2006 periods. However, these reports do not show official signatures for the budgets, which could proof their approval, revision and execution by the financing entity.	S
J. Implementation approach	Project activities were effectively executed and the outcomes have been very useful to improve POPs management at national level.	S
K. UNEP Supervision and backstopping	According to progress reports, UNEPs supervision has been diligent and appropriate. UNEP also provided technical support, facilitating knowledge transfer among countries of the region.	S

-Guinea

The Republic of Guinea, in West Africa, has a lot of mining and agro-pastoral activities, meaning that the country is more and more being confronted with problems for sound management of chemicals and hazardous waste. POPs are widely used in Guinea, and come from various sources, mainly the burning of residues and waste (including biomedical waste), bush fires, as well as the mismanagement of PCBs and misuse of pesticides.

Guinea launched its NIP/POPs project in 2002, and started by forming a project coordination unit headed by a Project Manager, and under the Ministry of Environment. A multi-stakeholder National Coordination Committee (NCC) was also formed to manage the implementation of the project. The PCU spearheaded a number of activities such as conducting a POPs inventory, sensitization programs, and the development of a NIP.

Guinea was one of the countries that were very successful in achieving the project objectives. For example, the NCC successfully recruited and managed a group of experts to conduct a national POPs inventory. The exercise resulted in the updating of the national POPs profile, including dioxins and furans. They also conducted socio-economic studies on POPs, and their impact on health and the environment.

Following the national POPs inventory, an experts group met in a workshop to national priorities for managing POPs. Furthermore, a national communication strategy was developed, and sensitization and public education programs implemented to increase awareness and knowledge about POPs. As a result, the national capacity to manage POPs has been increased. The NIP has recently been submitted to the Stockholm Convention Secretariat, although it is not yet available in the website.

The project was also efficient in the use of funds, and submitted proper financial reports on time.

The key to the sustainability of projects outcomes is the continuation of financial support for project-related activities. Zambia has problems more urgent than environment and POPs. In the same vein, government budget is not adequate to address all the issues that need to be dealt with and the use of DDT and chlordane continues for lack of alternatives. Despite this, efforts are underway to incorporate POPs issues in the 6th National Development Plan, thereby ensuring that POPs-related work will be funded in future national budgets.

The project has helped change institutional behaviors. For example, mining and energy companies are now aware of the POPs problem, and are now making efforts to properly dispose of PCB-laden equipment. Furthermore, the country has successfully integrated POPs awareness and education programs in formal and non-formal education programs. The project has also highlighted the need to develop regional cooperation and partnership programs in the area POPs, given that the inventory indicated significant cross-border trade in materials containing POPs.

The M&E system of the project was adequate and implemented well. Thus, quality monthly and quarterly reports were prepared on time.

There was strong country ownership of the project, as indicated by the multi-stakeholder approach in its implementation, the involvement of various entities in the NCC, and implementation of project activities, and the support provided the project by the Ministry of Environment. The sensitization of legislatures, and communities also helped increase national ownership of the project. Guinea is part of the second phase of the World Bank managed African stockpile project (ASP).

On the whole, Guinea successfully implemented the NIP/POPs project. Thus, the national POPs inventory revealed various issues around POPs in the country, and involved the active participation of civil society organizations, women's groups, and various stakeholders. The project also highlighted the need to institutionalize the NCC, and ensure proper sound management of financial management.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	The country successfully attained the objectives and results of the project.	S
A. 1. Effectiveness	The project was highly effective in that a NIP was produced, a POPs inventory conducted, and various studies were done using a highly participatory process.	HS
A. 2. Relevance	The project was highly relevant to national development given the use of POPs in the mining and energy sector.	S
A. 3. Efficiency	The project efficiently used funds, and produced financial reports on time.	S
B. Sustainability of Project outcomes (overall rating)	Guinea successfully prepared a NIP, and prepared various studies with the active involvement of various stakeholders. In addition, a lot of sensitization and awareness-raising about POPs was conducted nationwide. For these reasons, the project outcomes have a reasonable chance of being sustainable, although resource constraints, as is common in many developing countries, threaten this prospect.	L
B. 1. Financial	Despite abundant mineral and other natural resources, Guinea is a poor country. As such, external support will be needed to help implement the NIP.	ML
B. 2. Socio-Political	The project has strong national ownership, as indicated in the active participation of various stakeholders in the development of the NIP. This is also buttressed by the policy changes, and greater awareness of the need to develop a regional cooperation program on POPs.	L
B. 3. Institutional framework and governance	There now is great and widespread awareness of the need for sound POPs management in the country. This need is felt in both the private sector, as well as government agencies, and the public at large.	L
B. 4. Ecological	Although the project achieved a lot of it's objectives, the sustainability of these achievements is threatened by lack of funds.	ML
C. Achievement of outputs and activities	The project achieved its expected outputs, and activities including conducting a POPs inventory, socio-economic and other studies, and preparing an NIP.	S
D. Catalytic Role	The project had a significant catalytic effect in changing behaviors and policies by virtue of the sensitization and awareness-raising activities conducted.	HS
E. Monitoring and Evaluation (overall rating)	The project, by and large, adhered to the M&E plan, and quality reports were produced.	S

Criteria	Evaluator's Summary Comments	Evaluator's Rating
E. 1. M&E Design	The M&E design used was based on the project document, and was reasonably satisfactory.	MS
E. 2. M&E Plan Implementation (use for adaptive management)	M&E activities mainly consisted of progress and financial reports submitted to the UNEP.	S
E. 3. Budgeting and Funding for M&E activities	Although there was no specific budget item for M&E activities, the project was able to produce various and periodic reports.	MS
F. Preparation and readiness	The country provided a reasonable level of counterpart support and in-kind contributions to project implementation, despite its meagre resources.	S
G. Country ownership / driveness	The multi-stakeholder approach, as well as strong support from the Ministry of the Environment is indicative of a strong country ownership of the project. Sensitization of legislators and communities also helped increase national ownership of the project.	S
H. Stakeholders participation	Various stakeholders were involved in project implementation. Stakeholders participated in the NCC, helped conduct studies, and included government agencies, as well as the private sector, and civil society organizations.	HS
I. Financial planning	Financial reports indicate that the project finances were properly managed.	S
J. Implementation approach	The use of a multi-stakeholder approach helped increase the effectiveness of project implementation. The project thus resulted in the preparation of various studies, and an NIP, with the active participation of many stakeholders.	HS
K. UNEP Supervision and backstopping	UNEP backstopping support to the project was reasonably adequate.	MS

-Lebanon

Lebanon had a late start of the project due to several causes, including the civil war. Initially, the signature was delayed by internal legislation making reasons regarding financial management; then the arrangements with UNDP for the financial management of the project added another delay; finally, hiring of a project manager lacking experience for undertaking the mandatory responsibilities, required additional time for finding a replacement. The result was that the NIP subproject was officially initiated in late April 2004, two years after the original target commencement date of May 2002.

The project was executed by the Ministry of Environment and the local UNDP office was selected to administer the subproject funds. This resulted in project managers considering themselves as UNDP contractors and the Government distancing itself from responsibility and accountability. Financial services via UNDP rules followed by UNEP rules add avoidable time delays and confusion to the process. In future multi-country project, this overlap in implementing agency-related responsibilities should be avoided.

The mid-term evaluation (September 2004) gave the lowest qualification to the project as no developments were realized at that time. However, all steps were accomplished when the project was closed in December 2006, and the final report was satisfactorily submitted in February 2007.

The project was based on the work of external contractors (consultants) with a loose participative structure. The National Coordinating Committee was not fully implemented and a few efforts were made for spreading information on the scope and implications of the Stockholm Convention to the public, despite to the fact that the priority setting meeting identified raising awareness as the priority area of interest. However, to further broaden the stakeholder involvement and assure a sense of ownership of the project among them, four workshops were organized for reviewing inventories, drafting the National profile, setting priorities, etc.

Consultants prepared draft documents, which were sent to the stakeholders for their review. The stakeholders attended the consultation meeting and their views/corrections were taken into account. In addition to the Ministry of Environment, the EDL (the public electricity utility), ASPLANTE (association of agricultural product importers), and all industries cooperated very closely in providing information for the preparation of the NIP.

The NIP was elaborated recognizing the lack of information on sources, emissions, levels and effects of POPs in the country. In fact, there are no monitoring activities carried out in Lebanon, despite the existence of good capacity for analysing POPs. The project experts received training, with the participation of UNITAR, in April 2004 and the NIP was adopted and submitted to the Convention Secretariat in May 2006, within the appropriate period. The contribution of the sub-project manager was essential for speeding-up the process.

All reporting obligations were conveniently fulfilled but the participation in regional activities was limited. A POPs website was created but has not been updated. In general, the project played a limited catalytic role in improving the institutional frameworks and strengthening the governance issues. There is no clear evidence of endorsement of the activities and proposals included in the NIP Action Plan, the sustainability of the outcomes depending mainly on the continued external financial support. Ensure government endorsement is one of the major issues in Lebanon.

Lebanon is very heavily indebted, with huge budgetary deficit, so sustainability is almost exclusively depending on external support. However, the capacity gained during the project

enabled the development of new projects in the country to tackle some of the hot spots identified in the NIP. In this respect, several GEF funded Projects have been initiated or are under preparation like one on "Demonstrating best techniques and practices for reducing health care waste to avoid environmental releases of dioxins and mercury" and another "PCB Disposal Demonstration Project", aiming at updating the PCB inventory prepared during the preparation of the NIP and conducting a pilot exercise for the final disposal of almost 20 tons of PCBs.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	Despite a late start, Lebanon attained the main objective of developing its NIP.	S
A. 1. Effectiveness	The NIP was elaborated by external experts recognizing the lack of information on sources, emissions, levels and effects of POPs in the country. The project was effective in documenting the situation and setting priorities.	S
A. 2. Relevance	Lebanon ratified the SC on January 2003 and the NIP was submitted to the Secretariat on May 2006, thus contributing to fulfill the derived obligations. Indeed, the project resulted with several concept notes; at the moment, there are two projects on POPs in the implementation phase.	S
A. 3. Efficiency	The project was cost-effective in attaining their objectives, despite delays in its start.	MS
B. Sustainability of Project outcomes (overall rating)	The long-term effect of the project is still not clear. However, the POPs issue has slowly moved into the national environmental agenda.	ML
B. 1. Financial	The outcomes will be very much dependent to external financial support.	MU
B. 2. Socio-Political	The level of stakeholder awareness is not high for allow the project outcomes to be sustained. A higher commitment will depend on the follow-up implementation of the NIP.	ML
B. 3. Institutional framework and governance	The Institutional framework is weak and subject to political changes. There is a lack of a central coordination body of POPs issues.	ML
B. 4. Ecological	Environmental awareness is weak in the country, concerned by other socio-economic priorities.	ML
C. Achievement of outputs and activities	The activities aiming at the development of the NIP were properly conducted. The expected outputs were successfully achieved.	S
D. Catalytic Role	This was moderate by the fact that the NIP components were sourced out – i.e. external consulting, with limited participation of stakeholders. The project did not drive major changes at the institutional, legislative, financial and infrastructural levels.	MS

Criteria	Evaluator's Summary Comments	Evaluator's Rating
E. Monitoring and Evaluation (overall rating)	The project was adequately monitored through interim and final reporting.	S
E. 1. M&E Design	The project implementation followed the M&E system designed in the project document, and it was found adequate.	S
E. 2. M&E Plan Implementation (use for adaptive management)	M&E activities most consisted of progress reports which were provided to UNEP, and reflected adaptive management.	S
E. 3. Budgeting and Funding for M&E activities	The M&E activities, although not budgeted were performed according to the UNEP procedures.	S
F. Preparation and readiness	The fact that during the mid-term evaluation it was recommended to terminate the project and then following a change in management, Lebanon succeeded in delivering the project's outputs on time is a strong indication of the ability to adapt.	MS
G. Country ownership / driveness	The project did succeed in creating some country ownership, which was strong during the NIP preparation, since all the chapters were reviewed and amended by the stakeholders. Lebanon never participated to any of the regional activities.	MS
H. Stakeholders participation	The project created a pseudo- multi-sectoral NCC, not officially endorsed, but fully operational during the project implementation phase. The EDL (the public electricity utility) had already in place a "PCB committee" that was composed of three individuals, one from each of the production, transmission, and distribution network of EDL	MS
I. Financial planning	The financial planning and control of financial resources was adequate. Lebanon did not apply for additional resources and the final expenditure was rather low (61%).	S
J. Implementation approach	The implementation was delayed by different internal circumstances but when started it was implemented successfully. The two layers of financial reporting (one to UNEP and another to UNDP) were a bit of a hassle.	S
K. UNEP Supervision and backstopping	UNEP provided appropriate technical assistance and backstopping support.	S

-Malaysia

The evaluator had great difficulties in getting feedback from the present managers with a variety of arguments like that the evaluation was considered inadequate since the project was completed in 2006 and the key persons involved are difficult to contact because most them are already retired or transferred to other Departments. Moreover, they argued that they need time to seek information for answering the questionnaire and gaining approval for the visit from the top management and stakeholders. Consequently, after two months of no progress the visit was cancelled and the evaluation was to rely on the existing reports and a completed questionnaire.

Malaysia did not ratify yet the Stockholm Convention. This lack of political willingness is probably the reason for the low profile of the country commitment in the POPs issue, despite the great assistance provided by the pilot project.

The project was executed by the Department of Environment. The subproject launch involved UNITAR national profile training and Papua New Guinea was also invited. The UNITAR senior representative who facilitated the training was also a professor at Kuala Lumpur University but in spite of his stay there for long times each year, the drafting of the national profile was largely delayed. The internal administrative rules and procedures are reportedly lengthy and added further delays. During the first year of implementation of the subproject the national coordinator changed twice.

The NCC, consisting of officials from the government, academia as well as the public and private sectors, was set up and was operational in following the development of the NIP. Malaysia received POPs inventory training and participated in the Swiss study tour. Six tasks teams (consultants) were created to undertake the various aspects to be included in the NIP. POPs inventories (particularly for PCBs and PCDD/PCDFs) were weak due to time and budgetary constraints.

The final draft was completed in 30 June 2005 but until now there is no evidence of endorsement and submission to the Convention Secretariat, so apparently the step 5 of the pilot project has not been accomplished.

Besides the preparation of action plans as required by the Stockholm Convention, the project was able to identify priorities for further work. For example, Malaysia has the technical infrastructure for analysing POPs, but no monitoring system has been implemented and no centralized database exists in the country. The project was able to raise the level of stakeholder ownership to allow for the Project outcomes to be sustained. Project activities provided important baseline in managing POPs in Malaysia. At present, the National Committee Meeting on Environmental Hazardous Substances is a forum for the integrated decision among the stakeholders related to POPs issues as well as for the management of chemicals in Malaysia.

Although there is no specific regulatory framework for POPs, the Government is in the process of amending the current legislation, incorporating the regulation on PCBs in PCB-containing equipment, the application of BAT/BEP, etc. Currently, some funding has been allocated under Tenth Malaysia Plan (2011-2015) to carry-out activities on POPs management.

Malaysia also recognized to need strengthening the public participation and information dissemination. In this respect, an action plan for awareness raising and a public health campaign related to POPs for the implementation stage following the national implementation plan was recommended. However, although information on the small grants programme was widely disseminated, no application was submitted so far. Non-governmental organization and women'

groups activities under the small grants would strengthen the relatively poor involvement of civil society and grassroots organizations in the decision-making process.

Despite the above weaknesses, Malaysia contributed to the regional activities hosting two successful regional meetings.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	The project made use of available scientific and/or technical information in the country by local consultants. The project objectives were only partially attained as Malaysia is the only country, from the 12, that has not yet ratified the Convention.	MS
A. 1. Effectiveness	The NIP was a practical document to enable the government of Malaysia. The project effectively assisted in identifying the sources and releases of POPs in the country and to coordinate the key relevant agencies in managing POPs.	S
A. 2. Relevance	The NIP will be the instrument for the government to strengthen the national capacity to manage POPs and to assist Malaysia in meeting the obligations under the SC, once the country becomes a party to the convention.	MS
A. 3. Efficiency	The timeframe for the project implementation was not realistic, but the project objectives and components were practical and feasible.	MS
B. Sustainability of Project outcomes (overall rating)	The NIP process and outcomes have been considered very important for the future decision making in managing POPs in Malaysia. Therefore, it contains elements of sustainability.	ML
B. 1. Financial	The outcomes of the project will be implemented using national allocation in particular under Tenth Malaysia Plan (2011 - 2015). However, Malaysia needs financial support on technical assistance and capacity building from international institutions.	ML
B. 2. Socio-Political	Apparently, there is insufficient public / stakeholder awareness in support of the long term objectives of the project.	MU
B. 3. Institutional framework and governance	The country is prepared to adapt the existing legislation to the compliance towards a sound management of POPs.	ML
B. 4. Ecological	Environmental awareness is not high in the country and will not facilitate sustainability of the project outcomes.	MU
C. Achievement of outputs and activities	The development of the NIP was successfully achieved but there remains the need to get the NIP and action plan endorsed and submitted to the SC Secretariat.	MS

Criteria	Evaluator's Summary Comments	Evaluator's Rating
D. Catalytic Role	Currently, Malaysia is at the stage/level of incorporating institutional and policy changes and providing incentives for a better POPs management among the stakeholders.	S
E. Monitoring and Evaluation (overall rating)	The project was adequately monitored through quarterly and final reporting.	S
E. 1. M&E Design	The project implementation followed the M&E system designed in the project document.	S
E. 2. M&E Plan Implementation (use for adaptive management)	M&E activities most consisted of progress reports which were provided to UNEP, and reflected adaptive management.	S
E. 3. Budgeting and Funding for M&E activities	The M&E activities, although not budgeted were performed according to the UNEP procedures.	S
F. Preparation and readiness	During project execution, strong commitment and cooperation at all level of stakeholders were observed, hence contributing to the success in developing the NIP.	S
G. Country ownership / driveness	Project activities provided important baseline in managing POPs in Malaysia. However, Malaysia did not ratify yet the SC. This lack of political willingness is probably the reason for the low profile of the country commitment in the POPs issue, despite the great assistance provided by the pilot project.	MS
H. Stakeholders participation	Project activities enhanced the awareness among the relevant authorities towards proper managing of POPs in Malaysia. At present, the National Committee Meeting on Environmental Hazardous Substances is a forum for the integrated decision among the stakeholders related to POPs issues as well as for the management of chemicals in Malaysia.	S
I. Financial planning	Funds were adequately managed. Lack of understanding and supervision from UNEP in using the UNEP Budget Code, originated some difficulties in the financial management.	S
J. Implementation approach	The project implementation was delayed due to certain internal rules and procedures. Besides this, the timeline was not properly designed as some outputs could not be achieved within the timeframe and the allocation budgets. The NCC was operational throughout the project.	MS
K. UNEP Supervision and backstopping	UNEP Chemicals was recognized to be very helpful in facilitating the project implementation and providing technical assistance.	HS

-Mali

Mali participated in the 1992 Rio Conference on Environment and Development, and subsequently, engaged in a number of activities. Among these are the preparation of a National Environmental Action Plan (NEAP), preparation of annual progress reports on the implementation of Agenda 21, and support for the preparation and adoption of an International Convention to Combat Desertification. The country also ratified the Stockholm Convention on POPs in 2003, and embarked on its implementation in the country. The first step in this process was the formation of a National Coordination Committee of 15 members, and four working groups. The project Secretariat was housed at the Direction Nationale de l'Assainissement et du Contrôle des Pollutions et des Nuisances (DNACPN), under the Ministry of the Environment and Sanitation.

The project successfully conducted an inventory of the problem of POPs in the country, relying heavily on a prior study. Despite the fact that the country is vast and parts of it are, for security reasons, inaccessible, the inventory was highly successful. Thus, the inventory enabled authorities to determine the geographic distribution of PCBs, their producers and users, and to secure them. Furthermore, the project achieved outputs which even though were not in the original work plan, had significant impact on its success. Among these were an evaluation of POPs analytical capacities in Mali, an inventory of unintentional production of POPs (e.g. through burning wastes, and plastics), and an analysis of legal issues.

The project was also highly relevant to Mali's national development agenda, and aligned with environmental policies. For this reason, project activities were integrated with the national strategies for managing chemicals, and there were synergies with other projects such as the Ozone layer protection project, and the Environment Ministry had a technical secretariat that managed environmental issues.

With regards to efficiency, the project worked well. However, there were delays in the disbursement of funds, resulting in delays in the implementation of activities. Despite this, the project successfully produced an NIP, including an Action Plan for its implementation. The preparation of the NIP was highly consultative and multi-stakeholder driven through the NCC.

In addition, numerous sensitization programs were conducted, covering activities ranging from workshops to mass media campaigns on radio and TV. The resultant increase in public awareness about POPs has changed habits, helped change laws and policies, and convinced stakeholders of the need to properly manage POPs.

It has been difficult sustaining the momentum gained in the preparation of the NIP, and to implement its Action Plan. Although some work on pesticides management is presently under way under the auspices of the World Bank-funded ASP project, the severe shortage of resources in the public sector has practically brought POPs-related work to a halt. For this reason, there is need for continued donor support if the NIP is to be implemented.

The project had also significant catalytic effects such as the formation of a national committee on pesticides, a regional institute on pest management, and institutional capacity-building. The project also resulted in policy changes such as the passing of new laws, and banning the use of POPs on crops. However, the NCC was not institutionalized, and hence much of its functioning, and the leadership it provided was lost when the project concluded. Furthermore, some limited use of DDT to fight malaria continues.

The NIP project had some success in mobilizing catalytic funding. For example, a two-year GEF air quality monitoring project is to start in early 2010, and there is a medium-sized project to

support their analytical capacities in Mali and other African countries. The project also, to some extent, was helpful in securing funding from the ASP, a project aimed at cleaning obsolete pesticides. In the same vein, the DNACP put a lot of resources (in terms of logistics) into the project. Other organizations such as CAFO, and FENAM (Federation Nationale l'Artisan de Mali) also put resources into project-related activities such as awareness-raising campaigns.

On the whole, the project was highly relevant to the national agenda, and very successful. Thus, stakeholders actively participated in project management and activities, resulting in strong ownership of the NIP that was produced. Despite this success, there remains the daunting task of implementing the NIP Action Plan in the face of meager resources, and the absence of external support for the project. The challenge, then, is for Mali to mobilize resources required to implement the NIP, and conduct additional activities such as updating the inventory of POPs which was done almost a decade ago.

Criteria	Evaluator's summary of comments	Evaluator's rating
A. Attainment of project objectives and results (overall rating)	Mali achieved the project objectives, and expected outcomes	S
A. 1. Effectiveness	The country had an effective NIP development process involving many stakeholders, capacity-building, and sound coordination by the NCC. However, there is need to update the POPs profile.	S
A. 2. Relevance	The project was highly relevant to the national development agenda, and aligned with environmental policies.	HS
A. 3. Efficiency	The project was largely efficient, with resources put to effective use. However, delays in disbursement of funds held up progress.	MS
B. Sustainability of Project outcomes (overall rating)	The NIP forms a solid basis for the sound management of POPs in Mali. In addition, the public awareness created, and multi-stakeholder involvement, and capacities built all are positive factors that can help the sustainability of the project's impact. However, the Malian government has meagre financial resources to implement the NIP Action Plan, and hence, will need external funding to implement it.	ML
B. 1. Financial	Mali has meager resources, and as such, will need donor assistance to implement the NIP Action Plan.	ML
B. 2. Socio-Political	There is strong support for the NIP Action Plan by virtue of the highly consultative process that led to it. In addition, government has ratified the Stockholm Convention, and already there have been changes in legal and policy changes to support better management of POPs.	L
B. 3. Institutional framework and governance	The government and relevant institutions are aware of the need for sound management of POPs, and are committed to achieving this.	L

Criteria	Evaluator's summary of comments	Evaluator's rating
B. 4. Ecological	Although the project was successful in raising awareness about POPs, and changed behaviors and policies, the continued storage of POPs and failure to dispose of these stocks threatens the ecological sustainability of the gains of the project.	ML
C. Achievement of outputs and activities	The project achieved its expected outputs, and even added other enabling activities such as an evaluation of national capacity to analyze POPs.	S
D. Catalytic role	The project had significant catalytic effects at the institutional, policy, and legal levels. However, the NCC was not institutionalized, and there still is some limited use of DDT to fight malaria.	S
E. Monitoring and Evaluation (overall rating)	The M&E plan was found to be adequate, and they were able to adhere to its stipulations.	MS
E. 1. M&E Design	The project implementation followed the M&E system designed in the project document, and found it adequate.	S
E. 2. M&E Plan Implementation (use for adaptive management)	M&E activities most consisted of progress reports which were provided to UNEP, although late and incomplete.	MU
E. 3. Budgeting and funding for M&E activities	The M&E activities were not budgeted. However, project reports were produced, albeit sometimes late.	MS
F. Preparation and readiness	The project was provided reasonable counterpart resources such as funding, staff, and facilities, and adequate project management arrangements were put in place.	S
G. Country ownership / driveness	The project was relevant to the national development agenda, and the awareness raised helped the management of POPs in the country.	HS
H. Stakeholders involvement	Project implementation involved various stakeholders including government agencies, civil society organizations (including women's groups), and the private sector. Stakeholders participated in the NCC, benefitted from capacity-building programs, and helped in raising awareness about POPs.	HS
I. Financial planning	The project reasonably adhered to stipulated financial regulations. However, Mali did not provide the final financial expenditure report.	MU
J. Implementation approach	The project was effectively implemented. Although there were some delays, a technical sound NIP (including an Action Plan) with strong stakeholder ownership was produced.	S
K. UNEP Supervision and backstopping	UNEP provided appropriate backstopping support. However, procedures for disbursing funds were found too cumbersome and often led to delays.	MS

-Micronesia, the Federated States of

The Federated States of Micronesia launched the project in late 2002 with UNITAR involvement. In the mid-term evaluation it was identified as one of the countries involving the highest risk in the project because no progress reports were submitted in spite of the numerous reminders. At present, four years after the end of the project, no final report has been received. In an attempt to collect the missing information the evaluator tried unsuccessfully to contact the representative persons (project coordinator, POPs focal point, etc.), so the short report below is based on the limited information available.

The national coordinator of the subproject and the country focal point, although becoming very capable, appeared to have no time to deal with this POPs project. Therefore, a project manager was appointed in February 2004 but it was too junior, lacking work experience and knowledge of the network of stakeholders to provide adequate leadership. However, steps 1-4 of the project were accomplished and the NIP was drafted in December 2006.

The Federated States of Micronesia ratified the Stockholm Convention in July 2005. Although (national coordinators of the subproject, the country focal point and other country representatives) received the second most training in the project (participation in several regional trainings, one hosted by the Federated States of Micronesia and the global training in project management and reporting; D/F regional training in Fiji; other regional and global training and conferences; and a very good international expert gave POPs inventory and action plan local training and stayed for two weeks to try to facilitate the process) the NIP has been neither endorsed nor submitted to the SC Secretariat.

The Federated States of Micronesia did not request small grants, although was requested to do so by constituents. Since no real progress has been made and no reports have been provided so far, the Federated States of Micronesia was not eligible to request supplementary funds.

Due to the lack of information it has not been possible to rate the performance of this sub-project, although based on that it is apparent that overall it should be considered as unsatisfactory.

-Papua New Guinea

Papua New Guinea is a diverse and complex country from the geographical, cultural and social perspectives. Several remote island and highland areas can be accessed only by air and reached through radio. This makes enabling an extremely challenging undertaking. National workshops and training sessions with multi-stakeholder involvement required significant domestic transport costs funding that were not considered in the project budget. PNG requested additional funds.

In spite of these major difficulties, public participation in interactive training sessions was apparently successful. The national coordinator of the subproject and other key country experts have received the most training so far under the project in the form of several global, regional training sessions and conferences, as well as two national training sessions facilitated by UNEP and UNITAR and international experts. Papua New Guinea also participated in the Malaysia and Fiji regional training sessions.

The project was executed by the Department of Environment and Conservation. NIP components were developed using in-kind expertise (task team members) and national consultants engaged to assist the task teams in the project. The National Coordinating Committee was a multi-sectoral committee and comprised of key stakeholder groups which included line government agencies (Departments of Environment & Conservation, Prime Minister & NEC, Attorney General, Health, Agriculture & Livestock, Provincial & local Level Government Affairs, National Planning & Monitoring and the Internal Revenue Commission (Customs)), the University of Papua New Guinea, NGO Watch Group and the PNG Trade Union Congress/Maritime Workers Union. Although the Committee stopped functioning since the project completion, their members have been involved in other activities and may be involved in future projects of a similar nature.

The project coordinating unit was operational but progress reporting has been extremely delayed. In fact, the terminal report is still pending and the NIP has been formally submitted neither to UNEP nor to the SC Secretariat yet. Apparently, it is now in the process of undergoing the internal endorsement before its final approval by the Cabinet and submission. However, risks remain largely due to subproject management and lack of demonstrated country ownership and commitment. In the meantime, following a new institutional structure, all the responsibilities relating to international/regional conventions (including the NIP) have been transferred to a newly established Industry Services Division.

Papua New Guinea applied for small grants and the selected non-governmental organization prepared media, mainly radio programmes, to raise awareness on POPs and support the understanding of the need and importance of the SC and the development of the NIP. The project contributed to building knowledge and understanding of POPs and chemical issues at various levels of community.

The sustainability of the initiatives under the project has been addressed through integration of chemical management activities/programmes into corporate plans/policies and departmental/agency implementation plans as well as closer collaboration and cooperation with partners, NGOs and industry. POPs/Chemical management aspects have been included in national policies such as the Disaster Contingency Policy and the International Guidelines on Roundtable Sustainable Palm Oil (RSPO) as well as one literacy programme under the YWCA. As part of its Mine Closure Plan, the Ok Tedi Mining Ltd was embarked on the shipment and destruction of PCB containing oils and equipment to Australia in 2008.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	The NIP components were developed using in-kind expertise (task team members) and national consultants engaged to assist the task teams in the project. However, PNG has not yet submitted the NIP to the SC Secretariat while the deadline expired on May 2006.	MS
A. 1. Effectiveness	The NIP and action plan were developed effectively, with the involvement of various stakeholders, but it is yet to be fully endorsed.	MS
A. 2. Relevance	Prior to the NIP project, the country had struggled to make chemicals/waste management priority issues. The project enabled to address the POPs issue at different levels. Further work and assistance would be needed to review the legislation and supporting tools to improve POPs management.	S
A. 3. Efficiency	Although the timeframe for the project implementation was not realistic, the project objectives and results were successfully attained. The project was cost-effective.	S
B. Sustainability of Project outcomes (overall rating)	The NIP has been integrated into the organizational activities of the Department of Environment & Conservation and some activities also in other line/supporting agencies and programmes.	ML
B. 1. Financial	Some outcomes may fall under the department's annual recurrent budget but others will need funding/technical support.	L
B. 2. Socio-Political	The NCC played a key role in achieving the results expected. Although the committee stopped functioning since the project completion, members are involved in other activities of similar nature.	L
B. 3. Institutional framework and governance	The environment legislation is enabling and provides for development of regulations for sound management of chemicals/POPs but needs to be revised. No regulation on industrial chemicals exists.	ML
B. 4. Ecological	Following their involvement in the NIP project the Department of Health is seriously looking at scaling down the use of DDT and improving their management of public health pesticides in their disease vector control programmes.	ML
C. Achievement of outputs and activities	The expected outcomes were largely achieved.	MS
D. Catalytic Role	The project provided the opportunity to the different stakeholders (i.e. government, industry and NGOs) to realize the importance of complying with the environment legislation and the need to self regulate and participate in developing the plans and policies on chemicals /POPs management.	S

Criteria	Evaluator's Summary Comments	Evaluator's Rating
	A number of actions were taken since the completion of the project.	
E. Monitoring and Evaluation (overall rating)	The project was adequately monitored through the reporting provisions of the Project.	S
E. 1. M&E Design	The project implementation followed the M&E system designed in the project document.	S
E. 2. M&E Plan Implementation (use for adaptive management)	M&E activities consisted of progress reports which were provided to UNEP, although late and of poor quality. The final report has not been submitted.	U
E. 3. Budgeting and Funding for M&E activities	The M&E activities, although not budgeted were performed according to the UNEP procedures.	MS
F. Preparation and readiness	For PNG, the time frame was not suitable as there were many issues that needed to the addressed. The size of the country and difficulties of communication were unique aspects that were not foreseen in the project definition phase. The training and activities carried out during the project were adequate for the purpose of the NIP development. However, it was acknowledged that more training would be required to improve the level of competence.	MS
G. Country ownership / driveness	The NIP project was in line with national development initiatives. It provided the opportunity for raising awareness and improving knowledge of POPs and other hazardous chemicals/wastes and the environmental agenda to various stakeholders in development.	S
H. Stakeholders participation	The involvement of stakeholders occurred prior to project establishment when an interim interagency committee was set up to address issues facing PNG with respect to the negotiations of the SC. When the NIP project was secured, this committee was then responsible for the setting of the coordination mechanism and for designing the project activities in-country. Many of the interim committee members were endorsed by their respective organizations for membership to the NCC of the POPs project.	HS
I. Financial planning	The financial planning and control of resources was adequate. The reporting aspect however, was a bit difficult as the project had to report to the internal financial management system and the UNEP and both had different formatting. Also the financial processes were a bit cumbersome especially for refurbishments which caused delays to some project activities. The funding allocation for PNG was not	MS

Criteria	Evaluator's Summary Comments	Evaluator's Rating
	reflective of the real costs for goods and services for the Project. The problem was exacerbated by the continued fall in the country's currency value against the USD.	
J. Implementation approach	The management was able to adapt to any changes made during the project implementation. This was easy due by the fact that the project was set under the overall management system of the organization and management was informed from time to time on the progress of the project including changes which had to undergo the endorsement process. No major obstacles were thus encountered.	S
K. UNEP Supervision and backstopping	UNEP and its collaborating organizations were very helpful although the distance between them and the subproject was challenging especially when problems were faced with the funding process. The meetings and regional consultations held over the period of the project were very useful.	S

-Slovenia

Slovenia became a member of the EU in 2004 and thus the project execution and the compliance of the POPs Convention were reinforced. The focal point entity is the Ministry of Health. The national coordinator of the subproject and the country focal point were competent and highly committed. The level of domestic expertise is very high. Slovenia has good laboratory capacities for POPs monitoring. Slovenia has a well-operated health monitoring system and it is also monitoring POPs-related toxicity cases.

Slovenia hosted Bulgarian experts for a study tour and received full POPs inventory training in Bulgaria. It participated in the BAT/BEP regional workshop in Vienna and did not need UNITAR assistance. Its national profile was already prepared before the project launching and only needed an update. Supplementary funds were requested mainly for the higher costs than originally envisaged of the POPs inventorying process. The project achieved all planed and expected results. NIP was finalized in July 2007 and endorsed and submitted to the Convention Secretariat on February 2010. Slovenia actively participated in all regional and global activities and contributed with relevant comments and recommendations.

Major outcomes of the project were:

- Key stakeholders (ministries, institutes, NGOs,...) were identified and responsibilities were assigned - nomination of Focal Point (National Chemicals Bureau for Stockholm Convention, Environmental Agency of the Republic of Slovenia for POPs CLRTAP Protocol).

- A multi-sectoral National Coordination Committee (12 members) and 5 working groups (at least 5 experts in each) were established. Very good collaboration was established between stakeholders which remains after the completion of the project. A final workshop (December 2005) and dissemination of information to obtain commitment of stakeholders and decision-makers were organized.

- A specific web page with comprehensive information on POPs was developed. Awareness raising activities (e.g. Chemical Safety Week) are currently carried out.

- Legislation on POPs has been extensively revised and updated (e.g. implementation of Regulation on Persistent Organic Pollutants No. 850/2004/EC – OJ RS No. 4/2005). Further legislative harmonizations are being carried out.

- Projects to implement the NIP action plans are on going. In this respect, remediation of contaminated sites on previous dumping areas has started (link with other environmental related projects). Regular monitoring of POPs in human tissues (human milk, blood and urine) was also established in 2007.

Criteria	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating)	The project achieved all planed and expected results. NIP was endorsed and submitted to the Convention Secretariat on February 2010.	HS
A. 1. Effectiveness	The project was highly effective in the preparation and strengthening of the NIP and in determining national processes for improving the management of POPs.	HS
A. 2. Relevance	The project was aligned with national environmental policies and highly relevant to the national POPs agenda.	HS
A. 3. Efficiency	The project build on earlier initiatives, and made effective use of available scientific and /or technical information.	HS
B. Sustainability of Project outcomes (overall rating)	Sustainability is ensured by the obligations derived from the ratification of the SC and the EU regulations.	L
B. 1. Financial	There will be adequate financial resources in the future for sustaining project's outcomes.	L
B. 2. Socio-Political	Projects to implement the NIP action plans are on going. Monitoring and remediation activities are efficiently performed.	L
B. 3. Institutional framework and governance	Legislation on POPs has been extensively revised and updated according to the EU regulatory framework.	L
B. 4. Ecological	Environmental awareness is high in the country and will facilitate sustainability of the project outcomes.	L
C. Achievement of outputs and activities	Outputs were timely delivered, both in quantity and quality. They had the necessary weight to influence policy and decision-makers at the national level.	HS
D. Catalytic Role	The project contributed to catalyzing changes in stakeholder, institutional and policy-maker behaviours.	HS
E. Monitoring and Evaluation (overall rating)	The project was adequately monitored through the reporting provisions of the Project.	S
E. 1. M&E Design	The project implementation followed the M&E system designed in the project document.	S
E. 2. M&E Plan Implementation (use for adaptive management)	M&E activities consisted of progress reports which were of good quality and timely delivered.	S
E. 3. Budgeting and Funding for M&E activities	The M&E activities, although not budgeted were performed according to the UNEP procedures.	S
F. Preparation and readiness	The level of domestic expertise in Slovenia is high. The arrangements and responsibilities for the project implementation were clearly identified and made in place.	S

Criteria	Evaluator's Summary Comments	Evaluator's Rating
G. Country ownership / driveness	The national coordinator of the subproject and the country focal point were competent and highly committed, thus enhancing country ownership.	HS
H. Stakeholders participation	A multi-sectoral NCC and 5 working groups were established. Very good collaboration was established between stakeholders which remains after the completion of the project.	HS
I. Financial planning	The financial planning and control of resources was adequate. No additional resources were requested. No problems were recorded on this respect. The project was hihgly cost-effective as Slovenia had the lowest budget among the country projects and achieved all expected results.	HS
J. Implementation approach	The project was executed according to the initial plans. Efficiency and adaptability were apparent in the project management and the supervision of activities at all levels.	S
K. UNEP Supervision and backstopping	Administrative and financial support provided by UNEP/DGEF was highly satisfactory.	HS

-Zambia

Zambia manages the environment through a National Conservation Strategy (NCS) formulated in 1985. The NCS led to the enactment of environmental legislation, and the establishment of Environmental Council of Zambia (ECZ) in 1992. This was followed by the development of a National Environment Action Plan and the formulation of the National Policy on Environment.

The POPs of major concern in Zambia are Chlordane, DDT, PCBs, and PCDDs/PCDFs. Chlordane is used for termite control in the construction industry and in plantations. DDT is exclusively used for malaria vector control and there has been a steady increase in the quantities used, particularly for Indoor Residue Spray. The PCBs are contained in equipment such as transformers and capacitors. Though the importation of such PCB containing equipment ended in the 1980s there is still a number of them, both obsolete and in use, countrywide. PCDDs/PCDFs are of major concern, basically by the poor management of solid wastes such as open air burning.

Against this background, Zambia launched its NIP/POPs project in 2002 with a consultative workshop of various stakeholders. The workshop resulted in the establishment of the National Coordinating Committee (NCC), and four working groups. ECZ served as the project Secretariat, and designated some of its staff to take on various roles in the management of the project. In-kind resources were provided to the project, e.g. transportation, and office space.

The project was highly successful in achieving its objectives. For example, the NCC was highly representative, and helped improve engagement. The inventories increased understanding of POPs issues and a POPs database was developed. As a result of these interventions, there was an increase in the national capacity to manage POPs and in public awareness.

The project was highly relevant to their 5th National Development Plan (in terms of chemicals management), and it helped the country meet its obligations under the Stockholm Convention.

The project was also efficient given that funds were put to good use. However, the project did not have its own secretariat, but was run from the ECZ, thus resulting in delays because ECZ staff on the project had other tasks to do. The project efficiency could probably have been greater had it not been for such problems as the late arrival of guidance documents, changes in reporting personnel and procedures, as well as problems with the late disbursement of funds.

The key to the sustainability of projects outcomes is the continuation of financial support for project-related activities. Zambia has problems more urgent than environment and POPs. In the same vein, government budget is not adequate to address all the issues that need to be dealt with and the use of DDT and chlordane continues for lack of alternatives. Despite this, efforts are underway to incorporate POPs issues in the 6th National Development Plan, thereby ensuring that POPs-related work will be funded in future national budgets.

The project has helped change institutional behaviors. For example, many agrochemical companies have launched farmer education campaigns; the construction industry is educating members about the use of POPs in termite control. The project also helped strengthen mechanisms for importing and using chemicals. Thus, DDT and chlordane use are now restricted, and each of these products is now sole-sourced for importation into the country. However, there is yet to be any change in legislation on the use of POPs in the country.

The M&E system of the project was fairly adequate and implemented well. The NCC prepared monthly and quarterly reports with good quality. These reports helped keep staff on their toes, and improve the management of the project. Although there was no formal M&E process, or a full-time M&E staff, there were monthly Secretariat meetings for planning. One drawback of the M&E system was that feedback on the reports sent to UNEP came very late; often too late to have much use.

The project benefitted from having realistic and practical objectives, as well as a coordinating organization (the ECZ) that is reasonably resourced. In addition, there was strong country ownership of the project and people were genuinely enthusiastic about it. In this regard, sensitization of legislatures and media practitioners was very helpful, as was the highly consultative, multi-stakeholder approach that was used in managing the project, and implementing various activities. There also were significant public awareness-raising activities including national radio and TV programs, the production of a video documentary, and various workshops on POPs issues. Although the ECZ did most public awareness activities, other stakeholders also conducted similar activities.

On the whole, the NIP/POPs project was highly successful in Zambia, despite the initial delays in implementation. A number of steps and tasks such as updating the NIP, and its formal endorsement by stakeholders still remain. For this reason, it is imperative that resources be mobilized both internally, and from the donor community to ensure complete implementation of the NIP Action Plan, and hence, ensure Zambia's compliance with its obligations under the Stockholm Convention.

Criteria	Evaluator's summary of comments	Evaluator's rating
A. Attainment of project objectives and results (overall rating)	The project objectives, and expected outcomes were largely achieved.	S
A. 1. Effectiveness	The NIP and action plan were developed effectively, with the involvement of various stakeholders. However, the NIP is yet to be fully endorsed, and funding for its implementation secured.	S
A. 2. Relevance	The project was relevant to the 5th National Development Plan, and efforts are underway to incorporate the NIP into the 6th National Development Plan	S
A. 3. Efficiency	The project was relatively efficient, despite delays in the disbursement of funds, and hence, its' start.	S
B. Sustainability of Project outcomes (overall rating)	The sustainability of the project outcomes is heavily dependent on the availability of funds. Given the resource constraints of the Zambian government, it is evident that significant funding will have to be mobilized from external donor agencies.	ML
B. 1. Financial	The government will continue to need donor assistance given its resource limitations, and the persistent need for DDT and chlordane to control malaria and termites, respectively.	ML
B. 2. Socio-Political	There are little or no socio-political risks because the various institutions have to continue doing their job, irrespective of who is in power.	L
B. 3. Institutional framework and governance	There is a solid base of support for POPs management, and further, the ECZ will continue to have the mandate for environmental management.	L
B. 4. Ecological	The continued use of DDT poses an environmental risk. However, the sharing of information on the matter could be improved.	ML

Criteria	Evaluator's summary of comments	Evaluator's rating
C. Achievement of outputs and activities	The institutional arrangements were put in place, the inventories and sensitizations done, and the NIP prepared. However, there remains the need to get the NIP and action plan updated, endorsed, and resources mobilized for its implementation.	S
D. Catalytic role	The project has changed institutional behaviour in government agencies and the private sector, help bring about policy changes, and attract donor interest in funding some follow-up activities.	S
E. Monitoring and Evaluation (overall rating)	The M&E system was fairly adequate, well-implemented, and very useful, despite a few drawbacks.	MS
E. 1. M&E Design	The M&E design was adequate, and per UNEP guidelines.	MS
E. 2. M&E Plan Implementation (use for adaptive management)	Although there was no fulltime M&E staff, monthly and quarterly project reports were prepared and submitted to UNEP. However, UNEP's comments sometimes were received late, thereby reducing their utility.	MS
E. 3. Budgeting and funding for M&E activities	There was adequate funding for M&E activities.	MS
F. Preparation and readiness	The objectives were realistic in the time frame of the project, and counterpart funding from the state was adequate. ECZ, the national environmental agency and the executing institution for the project is relatively resourced.	S
G. Country ownership / driveness	There was a strong country ownership and people are genuinely interested in the project. The sensitization programs and awareness-raising activities aimed at legislatures, media houses, and the public at large, helped increase country ownership.	HS
H. Stakeholders involvement	Stake-holder institutions nominated people to the NCC, thus helping them ensure that the right people served on the NCC. This system facilitated data collection, and allowed the project to use local expertise. The Stakeholders, through their Working Groups, were well-engaged in the process.	HS
I. Financial planning	Quarterly reports showed that the funds were adequately used.	S
J. Implementation approach	Project implementation went well, despite some delays.	S
K. UNEP Supervision and backstopping	Although UNEP provided reasonable support, their efforts were hampered by changes in staff and reporting procedures.	MS

Summary of evaluator's rating for each country sub-project

Criteria	Barbados	Bulgaria	Chile	Ecuador	Guinea	Lebanon	Malaysia	Mali	Micronesia	Papua NG	Slovenia	Zambia
A. Attainment of project objectives and results	MS	HS	HS	S	S	S	MS	S	-	MS	HS	S
A. 1. Effectiveness	MS	HS	HS	HS	HS	S	S	S	-	MS	HS	S
A. 2. Relevance	S	HS	HS	HS	S	S	MS	HS	-	S	HS	S
A. 3. Efficiency	MU	HS	MS	S	S	MS	MS	MS	-	S	HS	S
B. Sustainability of Project outcomes	ML	L	L	L	L	ML	ML	ML	-	ML	L	ML
B. 1. Financial	ML	L	L	L	ML	MU	ML	ML	-	L	L	ML
B. 2. Socio-Political	ML	L	L	L	L	ML	MU	L	-	L	L	L
B. 3. Institutional framework and governance	ML	L	L	L	L	ML	ML	L	-	ML	L	L
B. 4. Ecological	ML	L	L	L	ML	ML	MU	ML	-	ML	L	ML
C. Achievement of outputs and activities	S	HS	HS	MS	S	S	MS	S	-	MS	HS	S
D. Catalytic Role	MS	S	HS	S	HS	MS	S	S	-	S	HS	S
E. Monitoring and Evaluation	MS	S	HS	S	S	S	S	MS	-	S	S	MS
E. 1. M&E Design	S	S	HS	S	MS	S	S	S	-	S	S	MS
E. 2. M&E Plan Implementation (use for adaptive management)	S	S	S	S	S	S	S	MU	-	U	S	MS
E. 3. Budgeting and Funding for M&E activities	MS	S	HS	MS	MS	S	S	MS	-	MS	S	MS
F. Preparation and readiness	S	MS	S	S	S	MS	S	S	-	MS	S	S
G. Country ownership / driveness	MS	S	HS	HS	S	MS	MS	HS	-	S	HS	HS
H. Stakeholders participation	HS	HS	HS	HS	HS	MS	S	HS	-	HS	HS	HS
I. Financial planning	S	S	HS	S	S	S	S	MU	-	MS	HS	S
J. Implementation approach	S	HS	HS	S	HS	S	MS	S	-	S	S	S
K. UNEP Supervision and backstopping	MS	HS	HS	S	MS	S	HS	MS	-	S	HS	MS

Annex 9. Brief CV of the evaluators

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Academic background

1968. Ph.D. (Organic Chemistry). University of Barcelona. Spain.

1984- . Research Professor. Spanish Research Council (CSIC).
1976-92 Professor of Environmental Organic Geochemistry, Faculty of Chemistry, University of Barcelona.
1995. Master on Leadership and Higher Direction. IESE. Barcelona, Spain

Postgraduate courses and Seminars on Environmental Chemistry in more than 20 countries.

More than 100 **invited lectures** in International Symposia on Environmental topics.

Ph.D. Thesis and Publications

Director of 20 Ph.D. Thesis

More than 200 papers in international refereed journals (*Nature, Geochim. Cosmochim. Acta, Environ. Sci. Technol., Arch. Environ. Contam. Toxicol., Environ. Contam. Toxicol., Org. Geochem., Aq. Toxicol., Water Res., Mar. Pollut. Bull., Chemosphere, etc*.) and 14 books on Environmental Chemistry [Pergamon (2), Elsevier (1), Gordon & Breach (10), Hemisphere (1)].

1979- . Member of the Editorial Board of *Chemosphere*, *Water Research*, *Journal of Environmental Science and Health*, *Environmental Geochemistry and Health*, ….

1991- . Editor-in-Chief of the *Intern. J. Environ. Anal. Chem.* (Taylor & Francis)

Main research activity

In 1979 established the Department of Environmental Chemistry at the CID (CSIC), the first one of this type in Spain, where pioneering and internationally well known activities started to develop. The following research groups were subsequently created: Organic geochemistry and Environmental analysis (1979-), Biogeochemistry of continental and marine waters (1985-) and Ecotoxicology of organic micropollutants (1988-).

Other relevant activities

1981-1992. Scientific advisor of the UN Regional Seas Program (UNEP)

1983- . Director of many International Workshops on Marine Pollution (Peru, Cuba (2), Mexico, Argentina, Brasil, Barcelona (2) under the sponsorship of the UNEP Regional Seas Program. Director of the Summer School on Marine Pollution (Arab-School of Science and Technology, Damascus, Syria, 1987).

2000-2002 Regional Coordinator (Mediterranean) of the GEF/UNEP Project "Global Assessment of Persistent Toxic Substances".

2003- . Member of the Spanish Advisory Committee on POPs.

2004-2009 Coordinator of the European Network on Accidental Marine Pollution.
2010- . Coordinator of the European Network "Towards an integrated European marine research strategy and programmes".

1983- . Member of the Group of Experts GEMSI (IOC-UNESCO), of the Steering Committee of the SCOPE Program on "Chemical changes in coastal zones", the EUROTRAC (EUREKA) International Program, the NATO Special Programa Panel on "Global Environmental Change", the Ecotoxicology Program of the European Science Foundation, the Coastal Oceanography Programm of CNRS,...

1985- . Member of the Executive Committee and Vice-President of the International Association of Environmental Analytical Chemistry (IAEAC).

Managerial positions

1983-1985 Director, Institute of Bio-Organic Chemistry, CSIC, Barcelona.
1986-1992 Director, Center of Research and Development, CSIC, Barcelona.
1993-1994 General Director of Research. Catalan Government.
1995-1999 Minister for Universities and Research. Catalan Government.

Awards and distinctions

1973. I Osborne Award for the Conservation of Nature. Spain.
1986. Hewlett-Packard Award on Mass Spectrometry. Spain.
1989. "Narcis Monturiol" Medal to the Scientific Merit. Catalan Government.
1990. Jubilee Medal of the Chromatographic Society. United Kingdom.
2007. National Research Award on Coastal and Marine Pollution Studies. Spain.

1991. Member of the Academia Scientarum et Artium Europea
1992. Member of the Academia Europaea.
1999. Member of the Royal Academy of Sciences. Spain.

MARÍA DEL PILAR ALFARO

Address: Concepción de Tres Ríos, R. Monserrat, 6 Etapa No. 37L, Cartago, Costa Rica, Tel: +506-22738289. Email: pilar.alfarom@gmail.com

Academic background

2004 Ph.D. Environment and Natural Resources.
Universidad de Santiago de Compostela. Spain.

2002 M.Sc. Waste Management. Instituto de Investigaciones Ecológicas. Spain.

2001 Certificate of Advanced Study in the Area of Soil Science and Agricultural Chemistry. Universidad de Santiago de Compostela. Spain.

1996 Bachelor Marine Biology, Universidad Nacional, Costa Rica.

Work experience

2009-2010. Individual Contractor for National Center for High Technology as Technical Assistant with the GEF REDUCING PESTICIDE RUN-OFF TO THE CARIBBEAN SEA Project - Colombia, Costa Rica and Nicaragua. Costa Rica

2008 Individual Contractor for United Nations as Technical Assistant with the GEF REDUCING PESTICIDE RUN-OFF TO THE CARIBBEAN SEA Project - Colombia, Costa Rica and Nicaragua. Costa Rica

2005- 2008 Technical Assistance Project: Development of National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants. Costa Rica Implementation Agency: UNEP

Courses and Seminars on Environment

2008 **Cleaner Production in the Industrial Sector**. National Center for Cleaner Production. Costa Rica.

2007 **Risk Assessment of Pesticide Use.** Universidad de Costa Rica, International Union of Pure and Spplied Chemistry (IUPAC), Ministerio de Agricultura y Ganadería de Costa Rica, Canadian Internacional Development Agency (CIDA). Costa Rica.

2007 **Risk Assessment of Pesticide Use.** Organización Panamericana de la Salud (OPS), Programa de las Naciones Unidas para el Medio Ambiente (UNEP), Instituto de Nutrición de Centro América y Panamá (INCAP), Universidad Federal de Río de Janeiro (IESC), GEF, CEC.CCA.OCE, AMBIOS. Guatemala.

2006 **Environmental Compliance Inspections** Ministerio del Ambiente y Energía (MINAE), Agencia Federal de Protección del Ambiente de los Estados Unidos (EPA), Comisión Centroamericana de Ambiente y Desarrollo (CCAD). Costa Rica.

2005 **Environmental Impact Assessment and Environmental Inventories** Universidad de Costa Rica, Agencia Española de Cooperación Internacional. Costa Rica.

2005 **Implementation Strategies for Pesticide Management and Food Security** Universidad de Costa Rica. Costa Rica.

2003 **Organic matter cycle and capture of C. in soils and environment.** III Congreso Iberoamericano de Física y Química Ambiental. UNAM. México.

2003 **Environmental Management** Cámara Oficial de Comercio, Industria y Navegación de Santiago de Compostela. Spain.

2002 **Environmental Management Systems in the UNE-EN-ISO 14001** Escuela de Estudios Medioambientales. Spain.

Main research activity

2005-2007 Project: Artificial wetlands. Waste Management Laboratory. Universidad Nacional. Costa Rica

2000-2004 Project "*Key nutrient transport mechanisms important for the prediction of nutrient and phytoplankton concentrations in European standing waters"*. EVK1-1999-00094 BUFEER. Comunidad Económica Europea, Universidad de Santiago de Compostela. España.

KATIM S. TOURAY

Address:

Academic background

1994 Ph.D. (Soil Science), University of Wisconsin, Madison, WI, USA
1987 M.Sc. (Soil Science), Montana State University, Bozeman, MT, USA
1982 Soil and Plant Analysis Training Course, International Institute of Tropical Agriculture, Ibadan, Nigeria
1981 B. Agric. (Soil Science), University of Nigeria, Nsukka, Nigeria.

Work experience

2009:

- UNDP São Tomé and Príncipe – Lead Consultant prepare a project document for a UNDP-supported project to absorb new graduates in the national workforce
- African Union Commission, Dept. of Human Resources, Science and Technology, July. - Dec. 2009 – Consultant in preparation of a background paper on ICT capacity building and research and development (R&D) in Africa to help prepare for the January 2010 AU Summit, on "Information and Communication Technologies (ICT) in Africa.
- Ministry of Trade, Industry, and Employment (MOTIE), The Gambia - Lead Consultant for the preparation of the National Agricultural Investment Program (NAIP)

2008:

- UNDP Drylands Development Centre – International Consultant reviewing the Integrated Drylands Development Program (IDDP) of the UNDP Drylands Development Centre.
- UNDP Kigali, Rwanda – International Consultant for evaluation, and preparation of project document for the Rwanda TOKTEN program.

2007:

- National Institute of Statistics of Rwanda (NISR)/UNDP Kigali, Rwanda – International Consultant in preparation of the Rwanda MDG Report.

2006:

- Secretariat of the UN Convention to Combat Desertification – Consultant and prepared background paper on youth and desertification for the International Conference on Youth and Desertification.

2005:

- National Environment Agency (NEA), The Gambia, Consultant in preparation of the Gambia's report to the 2005 UN World Summit on progress toward the MDG.
- UNDP, The Gambia, Lead Consultant in preparation of the localized Millennium Development Goals (MDG).

Selected publications

1. Touray, K.S. 2009. Gas Flaring and Venting and Greenhouse Gas Emissions: A Sub-Saharan Africa perspective. In *"Effective Hydrocarbon Management: Lessons from the South."* Special Unit for South-South Cooperation, UNDP. pp: 115-132
2. Touray, K.S., M. D. Diop, and Z. A. Ogutu. 2009. Review of the Integrated Drylands Development Programme (IDDP I). Drylands Development Centre, UNDP
3. Touray, K.S. 2008. Final Evaluation of the Support Project to the Implementation of the Rwanda TOKTEN Volunteer program. http://tinyurl.com/yfeegfn
4. Touray, K.S. et. al. 2007. Millennium Development Goals – Toward sustainable social and economic growth. Country Report 2007 NISR/UNDP http://tinyurl.com/y9vu3uz
5. Touray, K. S. Oct., 2006. *Desertification and Youth Migration: A global perspective on challenges and opportunities.* Presented at the International Symposium on Desertification and Migration. Almería, Spain. Oct. 25-27, 2006 http://tinyurl.com/y9opsnc
6. Touray, K.S. Aug., 2006. *For a Better Tomorrow: A global perspective on challenges and opportunities for young people in the drylands.* Background paper prepared for and presented at UNCCD International Conference on Desertification and Youth. http://www.unccd.int/IYDD/documents/iydd_docs/bamako_bd_en.pdf
7. Touray, K. S. (contributor and editor), B. L. J. Jammeh, C. O. A. Jallow, and E. Sarr. June, 2005. "Reaching out to the people: Achieving the Millennium Development Goals at the Local Level in The Gambia" - http://www.undg.org/access-file.cfm?cat=79&doc=6527&file=9029
8. Touray, K.S. May 2004. The role of ICT in development: challenges and opportunities. Invited Keynote paper presented at UN Country Team Development Forum, May 27, 2004
9. Touray, K. S. July 2003. Public Participation in Development – A Primer. Invited Keynote paper presented at UN Country Team Development Forum, July 28, 2003. In: "Synthesis of The Gambia UNCT Development Forum 2003: Vol II." March 2004 http://www.ungambia.gm/documents/DFS2003%20Final%20Text%20Final.pdf