



FINAL EVALUATION
of the
GEF/UNDP/UNEP/UNIDO/WB MEDIUM-SIZED PROJECT:
Preparing for HCFC Phase-out in CEITs: Needs, Benefits and Potential
Synergies with other MEAs
(Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan,
Ukraine and Uzbekistan)

Final Report

Submitted by

Richard Abrokwa-Ampadu (aampadu@videotron.ca)

Date: 26 June 2013

Project and Evaluation Profile

Title of GEF financed project	Preparing for HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs
UNDP project ID	
GEF project ID	3597
GEF Focal Area	Ozone Depletion
GEF Operational Program	STRM
GEF Strategic Program	ODS-SP1
Region of the project	Eastern Europe and Central Asia (CEITs)
Participating Countries in the regional MSP project	Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan
Implementing Agencies and their Participating Countries:	
UNDP (assisted by UNEP)	HCFC Phase-out strategies for Belarus, Bulgaria, Tajikistan, Ukraine and Uzbekistan
UNIDO (assisted by UNEP)	HCFC Phase-out strategies for Azerbaijan, Kazakhstan and Russian Federation
UNEP	
World Bank	
Executing partner institutions	NOUs of participating countries
Evaluation time frame	20 Days; March 30 – June 30 2013, amended from March 4 – April 19, 2013
Date of evaluation report	26 June 2013
Evaluation Team Members	One member (independent consultant) Mr. Richard Abrokwa-Ampadu

Acknowledgements

This report was prepared by Mr. Richard Abrokwa-Ampadu, Independent Consultant. The Consultant would like to express his appreciation and gratitude to all the persons connected with the project, who have provided valuable information through interviews and written statements (Ms. Christine Wellington-Moore, Mr. Laurent Granier, Mr. Yury Sorokin, and Mr. Jacques Van Engel) for the report. He also owes a load of gratitude to Mr. Rick Cooke of Man-West Environmental Group, the UNDP Consultant responsible for UNDP projects under the programme for his painstaking and insightful explanations of the work and experiences involved in working on the project and in the CIS region generally.

The Consultant would also like to extend his special thanks to the personnel of the UNDP Bratislava Regional Centre, especially Ms. Livia Buzova and Mr. Maksim Surkov for their kind support, coordination of the activity in trying circumstances and extreme tolerance in putting up with myriad of problems, including missed deadlines.

Finally special thanks go to my two daughters Angela and Michelle, my documentation assistants as well as to my wife Faustina, without whose support and encouragement this report might not have seen the light of day

TABLE OF CONTENTS

Project and Evaluation Profile	1
Acknowledgements.....	2
EXECUTIVE SUMMARY	5
List of Abbreviations and Acronyms	13
1. Introduction.....	14
1.1. Historical Antecedents	14
1.2. Purpose of the evaluation	14
1.3. Scope and Methodology.....	15
1.3(a) Scope.....	15
1.3(b) Methodology	15
1.4. Structure of the evaluation report.....	16
2. Project description and development context	17
2.1. Project background.....	17
2.2. Project summary.....	18
2.3. Project structure.....	19
2.4. Project start and duration.....	19
2.5. Problems that the project sought to address	20
2.6. Immediate and development objectives of the project.....	20
2.7. Baseline indicators established.....	21
2.8. Main stakeholders	22
2.9. Expected Results	22
2.10. Additional Results	23
3. Findings.....	28
3.1. Project Design and Related Issues	29
3.2. Project Implementation	31
3.3. Project Results.....	39
4. Conclusions, Recommendations and Lessons Learned	43
5. Annexes.....	49

List of Annexes

Annex 1: Terms of reference

Annex 2: Schedule of interviews

Annex 3: List of documents consulted or reviewed

Annex 4: Letters of endorsements of the project from Governments:

Annex 4.1: Letter of Endorsement - Government of Azerbaijan

Annex 4.2: Letter of Endorsement - Government of Belarus

Annex 4.3: Letter of Endorsement - Government of Bulgaria

Annex 4.4: Letter of Endorsement - Government of Kazakhstan

Annex 4.5-1: Government of the Russian Federation – Initial Letter of Participation in Regional MSP to UNDP

Annex 4.5-2: Government of the Russian Federation – Initial Letter of Participation in Regional MSP to UNDP (English Translation)

Annex 4.5-3: Government of the Russian Federation – Letter of Endorsement to UNDP/UNIDO

Annex 4.5-4: Government of the Russian Federation – Letter of Endorsement for FSP 3541

Annex 4.6: Letter of Endorsement - Government of Tajikistan

Annex 4.7-1: Letter of Endorsement - Government of Ukraine (in Ukrainian)

Annex 4.7-2: Letter of Endorsement - Government of Ukraine (in English)

Annex 4.8: Letter of Endorsement - Government of Uzbekistan

Annex 5: Evaluation Question Matrix

Annex 6: Questionnaires used and summary of responses:

Annex 6.1: Responses from UNDP

Annex 6.2: Responses from UNEP

Annex 7: Comments by the Implementing Agencies and responses of the Evaluation Consultant:

Annex 7.1: Comments and responses: UNEP

Annex 7.2: Comments and responses: UNIDO

Annex 8: Evaluation Consultant Agreement

EXECUTIVE SUMMARY

1. The Final Evaluation of the GEF/UNDP/UNEP/UNIDO/WB MSP Project: Preparing for HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs was conducted by an independent consultant between mid-March and end of June 2013. It was guided by the Strategic Program I for GEF-4: **Phasing out HCFCs and Strengthening of Capacities and Institutions**. During GEF-4 the GEF's principal objective was to assist eligible countries in meeting their obligations under the Montreal Protocol and strengthening capacities and institutions in those countries that still are faced with difficulties in meeting their reporting obligations.

2. The objectives of the evaluation included the assessment of the achievement of project results, drawing lessons that could both improve the sustainability of benefits from the project. The relevance, performance and success of the project, covering potential impact and sustainability of results, including the contribution to capacity development and the achievement of global and national environmental goals were assessed and rated. Important lessons learned with a short list of essential recommendations that GEF, project partners and stakeholders might use to improve the design and implementation of other related projects and programs in future are provided.

3. The document is organized in four sections, namely:

- Section 1: Introduction
- Section 2: Project description and development context
- Section 3: Findings
- Section 4: Conclusions, recommendations and lessons learned.

A number of documents relevant to the evaluation and its results are attached as annexes to the document.

Section 1: Introduction

4. The introduction provides some historical perspective to the project, the purpose of the evaluation as well as the methodology used in line with the terms of reference.

Section 2: Project Description

5. The medium sized project (MSP) which may be described as regional, multi-agency, multi-national and multi-thematic (or even multi-focal for some of the countries) project was originally conceived as a starting point for exploring the needs of the non-Article 5 countries with economies in transition (CEITs) of Europe and Central Asia region with regard to the accelerated HCFC phase-out agreed by the Parties to the Montreal Protocol (Decision XIX/6) and developing strategy outlines or strategies for phasing out their consumption and production of HCFCs. The project was also to assess the scope of benefits to be derived from GEF's assistance to the countries, including its potential benefits to similar activities of other countries, in particular Article 5 CEITs, as well as synergies with other multilateral environmental agreements. The assistance from the GEF Trust Fund for this MSP was US\$ 745,000. However, delays, time and circumstances had a cascading effect on the project and although the regional and multi-thematic aspects of the project got fragmented with the withdrawal from the project of two of the

implementing agencies, it has evolved in different manner and developed from strategy outlines in some of the countries to full sized projects (FSPs) and in others to approved PIFs with associated implementation activities. As a result several million dollars in funding from the GEF Trust Fund leveraged by over a hundred per cent as much funds in national governmental and private sector co-funding have been made available to six of the seven CEITs to meet their obligations under the Montreal Protocol in line with the accelerated HCFC phase-out. Table ES.1 below shows a summary of financial resources mobilized for the countries through the project.

Table ES.1: Summary of Financial Resources Mobilized in the CEITs for Phasing Out HCFCs through the GEF/UNDP/UNEP/UNIDO/WB Project: Phasing out HCFCs in CEITs

Country	IA/EA	Project	GEF Trust Funds (Million US \$)	Cofinancing Funds (Million US \$)	Total (Million US \$)
Azerbaijan	UNIDO	Initiation of the HCFCs phase out and promotion of HFCs-free energy efficient refrigeration and air-conditioning systems	2.66 ¹	6.55	9.21
Belarus	UNDP/MNREP	Initial implementation of accelerated HCFC phase out in CEIT Region - Belarus	2.50	8.00	10.50
Russian Federation	UNIDO/ MNR	Phase out of HCFCs and promotion of HFC-free Energy Efficient Refrigeration and Air-conditioning systems in the Russian Federation through technology transfer.	19.80	40.00	59.80
Tajikistan	UNDP/UNDP CO	Initial implementation of accelerated HCFC phase out in CEIT Region - Tajikistan	1.27	5.45	6.72
Ukraine	UNDP/MENR	Initial implementation of accelerated HCFC phase out in CEIT Region - Ukraine	3.60	10.92	14.52
Uzbekistan	UNDP/State Comm. NP	Initial implementation of accelerated HCFC phase out in CEIT Region - Uzbekistan	1.64	6.05	7.69
Total			31.31	73.67	104.98

6. This section provides in a nutshell a description of this complex, multi-agency, multinational project involving eight countries² and four implementing agencies (UNDP, UNEP, UNIDO and the World Bank) under sub-sections 2.1 to 2.10 as listed in the Table of Contents.

Section 3: Findings

7. In this section the results of analysis done on the various aspects of the projects implementation and monitoring as required under the TOR have been provided. Given the nature and circumstances of the project both the monitoring and evaluation aspect of the project's implementation as well as the results achieved were separately evaluated and rated according to the rating scales in Box ES.1 below.

¹ This amount includes PPG of US \$40,000.

² The project initially included Bulgaria, but was excluded from the follow-up investment projects since it became EU member.

BOX #ES.1

RATING SCALES

Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution:

6: Highly Satisfactory (HS): no shortcomings
 5: Satisfactory (S): minor shortcomings
 4: Moderately Satisfactory (MS): significant shortcomings
 3: Moderately Unsatisfactory (MU): significant shortcomings
 2: Unsatisfactory (U): major problems
 1: Highly Unsatisfactory (HU): severe problems

Sustainability ratings:

4: Likely (L): negligible risks to sustainability
 3: Moderately Likely (ML): moderate risks
 2: Moderately Unlikely (MU): significant risks
 1: Unlikely (U): severe risks

Relevance ratings:

2: Relevant (R)
 1: Not relevant (NR)

Impact Ratings:

3: Significant (S)
 2: Minimal (M)
 1: Negligible (N)

8. The analysis and results of the evaluation of the monitoring and evaluation aspects can be found in section 3.2 (d) of the document.

9. The ratings and description of the overall results are reproduced below in Table ES.2 and following descriptions.

**Table ES.2: RMSP: Preparing for HCFC Phase out in the CEITs
Project Results and Rating**

Agency	Beneficiary	Overall Results		Relevance	Effectiveness and Efficiency	Impact	Sustainability	M and E	IA coordination	Art. 7 Data Reporting
		Immediate Objective	Long-term Objective							
Component A: Preparing HCFC Phase-out Strategy Outline										
UNDP	Belarus	S	HS	R	S	S	L	S		HS
	Bulgaria	S	Not applicable	R	HS	S	L	S		HS
	Tajikistan	S	HS	R	HS	S	L	S		HS
	Ukraine	MS	MS	R	MS	S	L	S		HS
	Uzbekistan	S	HS	R	S	S	L	S		HS
UNIDO	Azerbaijan	S	S	R	S	S	L	MS		HS
	Kazakhstan	S	N/A	R	MS	M	L	MS		HS
	Russian Federation	MS	S	R	MS	MS	L	N/A		HS
UNDP/UNIDO	Overall Regional Comp. A Activity	MS	S	R	S	S	L	MS	U	HS
Component B: Global dimensions of HCFC phase-out										
World Bank	All countries (Region)	N/A	N/A	N/A	N/A	N/A	N/A	MS	N/A	N/A
Component C: Synergies with other MEAs										
UNEP	All countries (Region)	N/A	N/A	R	N/A	N/A	N/A	MS	N/A	N/A

(i) Immediate Objectives (Preparation of Outline Strategy)

10. This activity was rated successful in all the countries except in Ukraine and Russian Federation. For Ukraine it was rated moderately successful (MS) as data collected was still not complete and additional work was expected to be undertaken to complete the preparation of the strategy. In the Russian Federation, in spite of lack of information on the strategy outline, on the basis of information from other sources, the activity was also rated as moderately satisfactory (MS). It has to be emphasized that in view of the potential scope of HCFC phase out activities, in both production and consumption, a phase-out strategy is an absolute requirement for the country in order to ensure efficient, consistent and environmentally sound HCFC phase out.

(ii) Long-term objective (preparation of subsequent programmes for HCFC phase out)

11. This activity was rated highly satisfactory (HS) for Belarus, Tajikistan and Uzbekistan. These participating countries and their agency followed up the preparation of the outline with a “full fledged” phase-out strategy and FSP while retaining a regional structure. There has been evidence, including media reports (e.g. Uzbekistan’s enactment of new legislation incorporating elements of the strategies) and presentations made at the recent Regional Network for ECA meeting. Similar activity was rated moderately satisfactory for Ukraine where there is still need for work on the strategy. It was rated satisfactory (S) for Azerbaijan where a PIF has been prepared as a follow-up and approved in 2012, while it was not rated for Kazakhstan as there was insufficient information or report of follow-up activity. During the review of this report by the IAs, UNIDO informed the Evaluator that “the PIF draft document for Kazakhstan is also under preparation”. For the Russian Federation, again based on information from sources, including the GEF website, presentations at a recent ozone officers regional network meeting for the ECA region by the current Executive Director, Projects on ODS Production and Consumption Phase-out, Centre for Preparation and Implementation of International Projects on Technical Assistance it was rated satisfactory

3.3 (a) *Relevance*

12. Rating for all countries was relevant (**R**). The activity was considered the primary requirement for realizing the objectives of the countries of phasing out HCFCs and thereby fulfilling their international obligations.

3.3 (b) *Effectiveness and Efficiency*

13. The component activities were rated highly satisfactory for Bulgaria and Tajikistan. In Tajikistan, beside reported high level of local institutional and stakeholder participation, the project outputs were effectively used to redress the anomalous situation of the country with regard to its HCFC consumption and baseline and their potential adverse impact on its compliance with the Montreal Protocol. Bulgaria made very effective use of the outcomes to enhance its environmental credentials essential for membership of the EU. For three other countries (Belarus, Uzbekistan and Azerbaijan it was rated satisfactory while for Ukraine it was rated moderately satisfactory, mainly for inefficiencies in the project delivery and relatively weak and inconsistent institutional support. The activity in the Russian Federation was rated moderately satisfactory for effectiveness and efficiency based on information obtained from international sources regarding progress of the project’s implementation.

3.3 (c) Sustainability

14. This indicator was rated as likely (L), i.e. negligible risk to sustainability, in all the countries. The fact that most of the countries have in place and getting strengthened institutional structures previously set up with GEF support, have formally adopted phase-out strategies and incorporated them into existing or new laws, have obtained support from GEF Trust Fund leveraged by private and government co-funding assures have increased national ownership of the projects and enhanced their sustainability.

3.3 (d) Article 7 Data Reporting

15. Annual reporting of data to the Ozone Secretariat in line with Article 7 of the Montreal Protocol is one of the key indicators of GEF 4. The review of the data reported which in several cases were much higher than earlier reported before the project's implementation had been attributed to the activities that had assisted the countries to identify all relevant sources of consumption.

3.3 (e) Impact

16. This indicator was rated significant (S) for all the countries, except Kazakhstan and Russian Federation. The activity has enhanced the ability of the countries to report their data and to have their status assessed for compliance or non-compliance. It has resulted in significant investment in HCFC phase-out and strengthened regulatory capacity. It was rated marginal (M) for Kazakhstan. Although it has ratified the Copenhagen Amendment in the course of project implementation, Kazakhstan is yet to apply the outline strategy to actual phase-out project according to information received. There was no information indicating what impact the activity has had on national regulations. No rating was given to the activity in the Russian Federation for lack of relevant information.

3.3 (f) Implementing Partner implementation/execution coordination

17. In this regard the rating concerns implementing partner at the level of implementing agencies rather than between implementing agency and national executing agency. The rating assigned to this indicator was unsatisfactory (U).

18. Feedback from communication with agency representatives showed that there were initial interagency discussions; implementation nevertheless had the tendency to turn individual due to individual mandates with participating countries. The original project objective was to conduct surveys and prepare outline strategy. This presupposed a second phase, but there was no agreed plan for approaching a second phase of the development of the strategy and its aftermath. Thus for both UNDP and UNIDO the data collection and/or the outline strategy cascaded into phase-out strategies and subsequent PIFs/FSPs or to PIFs and subsequent FSPs/phase-out strategies as illustrated in Box number 2. There was very little substantive or regular interaction horizontally among functionaries (including consultants) of the two joint lead agencies for the Component A sub-project. Although in the early stages efforts were made to promote such interaction these efforts appear not to have been sustained. However, the ECA Network meetings became very useful forum for information sharing on the project. Several presentations have been made at these meetings in 2011, 2012 and 2013 by representatives of UNDP, Russian Federation and other countries.

19. According to the project proposal for the MSP, UNDP and UNIDO in cooperation with UNEP would first collect existing data from the participating countries (“desk studies”), carry out surveys using international and local consultants from which phase out strategies would be prepared for each country, recognizing regional trends and synergies. UNDP/UNIDO would focus on the investment projects requirements along with technical capacity development initiatives within the strategy, while UNEP would focus on “non-investment needs as well as coordinating the overall strategy-outline for each country and elaboration of regional facilitating initiatives”. In this regard, an important activity in the proposal was “identification and elaboration of measures that may be undertaken at the regional level that would serve to link and facilitate phase out efforts in countries in the region (including Article 5 countries in the region) including:

- Creation of an effective information exchange network for data on the trade of HCFC and other chemicals including HFCs with particular emphasis on validation of import and export transactions between countries in the region and elsewhere.
- Development of a regional scientific and technical expertise network that will facilitate the exchange of information, experience and expertise related to HCFC alternatives.
- Identification of regional training and technology transfer opportunities”.

20. This project appeared to draw on experiences from successful collaboration between UNEP and UNDP similar manner collecting data, and designing and executing MB phase out in pre- and post-harvest applications in CEITs. However, in terms of funding, UNEP was generally allocated 50% of the funds allocated to UNDP and UNIDO for each country, which in countries like Azerbaijan and Tajikistan amounted to only US \$12,500, to assist the two agencies in the country level activities. The proposed implementation modality in this instance did not and UNEP had to transfer its share of the country-level funds to UNDP and UNIDO, for them to solely carry out the country level activities thus contributing to the fragmentation of the regional implementation modality on the one hand and losing UNEP’s comparative advantage in networking on the other.

21. In order to have had optimal advantage of UNEP’s participation, its data gathering capabilities notwithstanding, it should not have been involved in the initial data collection by the other two agencies, as its role appears to have been interpreted, but rather focused on post-collection activities. UNEP’s participation would have added value at the subsequent stage of preparing the HCFC phase-out strategy outlines/strategies, where data were already available and UNEP could play its unique role of mobilizing and networking the participating countries to enhance institutional capacity and achieve the objective of “facilitating the elaboration of regional facilitating initiatives”. This could have obviated the situation where as there was no second phase the strategy outlines evolved into full sized projects “owned” solely by the two agencies dealing with investment projects and technical capacity development initiatives within the strategy with the resulting breakdown of the region-wide approach.

3.3 (g) Overall Project Rating

22. Overall the two implementing agencies UNDP and UNIDO have assisted six countries – Azerbaijan, Belarus, Russia, Tajikistan, Ukraine and Uzbekistan to mobilize about US \$30 million in GEF funding and over US \$85 million in co-funding to phase out their HCFC consumption and meet their accelerated phase out obligations.

23. However, Component A, the *raison d’être* of the regional MSP was designed to be jointly implemented by UNDP and UNIDO as probably a model for regional projects but the regional implementation modality collapsed, although UNDP continued to implement its sub-component

as a group or regional project with a high degree of success. Uzbekistan and Tajikistan have each expressed a very high level of cooperation signifying the importance of contiguity and probably similarity in socio-economic characteristics. The collapse of the regional implementation modality is the most significant failure of the project.

24. Cancellations of Components B and C by the World Bank and UNEP respectively were avoidable for the reasons provided by the agencies (the World Bank and UNEP). Although implementation of the two components could have added value to the results of the project the impact of the cancellations was minimal, since the strategies and the full-sized projects have significantly taken account of some of the issues that would have been addressed by the two components, such as impact of HCFC phase-out activities on climate or the impact of regional and global trade of second hand and cheap HCFC-based air conditioners on the successful implementation of the phase-out strategies adopted.

25. Consequently the overall project achievement, i.e. when all three components of the MSP are taken into account, was rated as moderately satisfactory (**MS**).

Section 4: Conclusions, recommendations and lessons learned

26. A number of conclusions reached as a result of the reviews, interviews and other activities undertaken in connection with the evaluation have been described in this section. Lessons learned from the perspective of the stakeholders who interacted with the consultant as well as those drawn from the review of documents provided to the consultant have been summarized in this section.

Recommendations

27. A short list of recommendations has been made for the attention of the GEF Secretariat. They include the following:

1. The GEF Secretariat may wish to request the two lead agencies for Component A of the project (UNDP and UNIDO) to submit to the Secretariat the strategy outline documents prepared by all the participating countries, including Bulgaria as a way of ensuring that the information is made accessible to stakeholders who may need it.
2. Given the status of ODS phase-out globally and in the CEITs in particular the need for a similar regional ODS phase out project in future may not arise. However should the need for endorsing a similar regional project proposals arise in future the GEF Secretariat in its consideration of such project proposals, may wish to take into account the lessons learned in connection with the development and implementation of this medium scale regional project, including issues relating to involvement of multiple agencies, the potential need for formal joint implementation agreements/arrangements, the effect of national ODS consumption and socio-economic disparities, limitations imposed by geographical locations of countries involved and the need for adequately funded autonomous management/monitoring unit.
3. As UNEP's Europe and Central Asia Regional Network of Ozone officers remains a key forum for exchange of information and expertise among the Article 2 CEITs financial support to these countries for participating in the activities of the network should be continued throughout the lifetime of the HCFC phase out projects as a means of sustaining capacity building resulting from these projects.

4. The GEF Secretariat and the implementing agencies (UNDP, UNEP, and UNIDO) may wish to work out possible modalities for joint support of the ECA network with the Multilateral Fund to enable the administrative resources of the network to be made available to the Article 2 CEITs for organizing activities dedicated to the needs of these countries.

List of Abbreviations and Acronyms

APR	Annual Project Review
CEITs	Countries with Economies in Transition
CEO	Chief Executive Officer (of the GEF Secretariat)
CFC	Chlorofluorocarbons
CO	Country Office
EC	European Community
EU	European Union
FSP	Full Size Project
GEF	Global Environment Facility
GEFSec	Global Environment Facility Secretariat
GHG	Green House Gas
HCFC	Hydrochlorofluorocarbons
HPMP	Hydrochlorofluorocarbon Phase-out Management Plan
IA	Implementing Agency
Impcom	Implementation Committee under the Non-compliance Procedure of the Montreal Protocol
IP	Implementation Progress
LVC	Low Volume ODS Consuming Country
MEA	Multilateral Environmental Agreement
M&E	Monitoring and Evaluation
MENR	Ministry of Ecology/Environment and Natural Resources
MMT	Million Metric Tonnes
MNR	Ministry of Natural Resources
MOP	Meeting of the Parties (to the Montreal Protocol)
MOU	Memorandum of Understanding
MSP	Medium Size Project (GEF)
MT	Metric Tonne
NOU	National Ozone Unit
ODP	Ozone Depleting Potential
ODS	Ozone Depleting Substance(s)
PIF	Project Implementation Form
PIMS	Project Implementation Management System
PIR	Project Implementation Review
POPs	Persistent Organic Pollutants
PPG	Project Preparation Grant
RMSP	Regional Medium Size Project
TE	Terminal Evaluation
TEAP	Technology and Economic Assessment Panel
TOR	Terms of Reference
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
USSR	Union of Soviet Socialist Republics
US\$	United States Dollar
VLVC	Very Low Volume ODS Consuming Country
WB	World Bank

1. Introduction

1.1. Historical Antecedents

28. For many CFC applications HCFCs provided the most viable and cost-effective alternatives. Thus HCFCs found widespread uses in various manufacturing and refrigeration serving industries as interim replacement for CFCs. Nevertheless, the adverse environmental effects of HCFCs as substitutes for CFCs helped to create an aversion to their use. Implementing Agencies were requested to note a presumption against HCFCs when preparing projects for Article 5 countries (ExCom Decision 17/17 (6)). The IAs were also expected, among other conditions, to make it clear that enterprises converting to HCFC technologies had agreed to bear the cost of subsequent conversion to non-HCFC substances (ExCom Decision 20/48). Notably HCFC-22 has long been used as a refrigerant in refrigeration and air conditioning equipment either on its own or in mixtures with other substances including CFCs as in R 502 (a mixture of HCFC-22 and CFC-115 used widely in display cases and walk-in freezers for frozen foods). In actual mass (rather than in ODP-weighted quantities) many countries, especially those depending heavily on air conditioning have likely been using much more HCFCs than CFCs. However, awareness about their levels of consumption in many countries remained sketchy at best.

29. Until UNDP embarked on the survey of HCFC consumption in 12 prospectively medium to large HCFC consuming Article 5 countries with the assistance of the Multilateral Fund, there had been no conscious effort to map out the nature of HCFC consumption in countries similar to the CEITs. The results of the surveys became available in April and June 2007. The HCFC surveys in the CEITs were made against this historical background and, in the best case scenario, to provide a model approach to HCFC phase-out that takes account of important environmental concerns that were essentially missed during CFC phase-out.

1.2. Purpose of the evaluation

30. The Final Evaluation of the GEF/UNDP/UNEP/UNIDO/WB MSP Project: Preparing for HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs was guided by the Strategic Program I for GEF-4: **Phasing out HCFCs and Strengthening of Capacities and Institutions**. During GEF-4 the GEF's principal objective was to assist eligible countries in meeting their obligations under the Montreal Protocol and strengthening capacities and institutions in those countries that still are faced with difficulties in meeting their reporting obligations.

31. The purpose of the Final Evaluation was to provide:

- (a) General assessment of the regional multi-partner project involving four implementing agencies, namely UNDP, UNEP, UNIDO and the World Bank and eight countries with economies in transition (CEITs) in Eastern Europe and Central Asia (Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan);
- (b) A strategy for replicating the results;
- (c) The basis for learning and accountability for implementing partners and agencies, GEF and stakeholders.

32. The objectives of the evaluation include the assessment of the achievement of project results, drawing lessons that can both improve the sustainability of benefits from the project, and aid in the

overall enhancement of UNDP programming. The relevance, performance and success of the project, covering potential impact and sustainability of results, including the contribution to capacity development and the achievement of global and national environmental goals will be assessed. Important lessons learned will be documented with a short list of essential recommendations that project partners and stakeholders might use to improve the design and implementation of other related projects and programs in future.

1.3. Scope and Methodology

1.3(a) Scope

33. The evaluation concerns the medium-sized project with the broad objectives of preparing for HCFC phase-out in eligible countries with economies in transition (CEITs), exploring the needs, benefits and potential synergies with other MEAs implemented by four implementing agencies (UNDP, UNEP, UNIDO and the World Banks). Thus the evaluation covered all activities proposed to be undertaken within the framework of the project as described in the project's frame. Thus it covered the three main components of the project proposal, namely:

- (a) Survey of HCFC consumption and production (in the CEITs) and the development of HCFC phase-out strategies for the 8 countries involved;
- (b) Impacts and benefits of global HCFC phase-out;
- (c) Exploring synergies with other chemicals MEAs.

By comparing planned outputs with actual outputs the actual results were assessed to determine their contribution to the achievement of the project objectives.

34. With regard to component (a) above, in the period following completion of the project, the implementing agencies concerned had developed and were implementing follow-up activities arising from the outcomes of the project, including preparation of HCFC phase-out strategies endorsed by the countries, preparation of project implementation forms (PIFs), preparation and implementation of full sized HCFC phase-out projects (FSPs). Although the follow-up activities were not part of the MSP but its outcomes and therefore not part of the evaluation per se, the outputs generated or proposed were reviewed and assessed for the extent to which they were achieving impacts or progressing towards the achievement of impacts of the MSP.

1.3(b) Methodology

35. The evaluation was conducted in accordance with the guidelines provided in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. The evaluation effort was framed around the five main criteria of relevance, effectiveness, efficiency, sustainability and impact as described below.

- (a) Relevance: How does the project relate to the main objectives of the GEF focal area (for this project, GEF 4 focal area) and to the environment and development priorities at the local, regional and national levels?
- (b) Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?
- (c) Efficiency: Was the project implemented efficiently, in line with international and national norms and standards?

- (d) Sustainability: To what extent are there financial, institutional, social-economic, and/ or environmental risks to sustaining long-term project results?
- (e) Impact: Are there indications that the project has contributed to, or enabled progress towards, reduced environmental stress and/or improved ecological status?

36. In this regard, in line with the terms of reference (TOR) of the final evaluation, sets of questions covering each of these criteria were developed for purposes of review and analysis of information provided by the IAs as well as for interviews with relevant members of staff of the IAs, international and national experts working on the project as well as Government representatives and national stakeholders. Where found necessary, additional questionnaires based on these questions were developed and used for the interviews or circulated to elicit the required information, especially in situations where interview by telephone or other electronic means was not feasible.

37. All relevant sources of information provided by the participating IAs as well as those obtained elsewhere were reviewed. These included documents provided by UNDP and UNIDO as the lead agencies for the preparation and implementation of HCFC phase-out strategies under the MSP. UNDP as the coordinating agency provided documents reflecting the regional context including those describing the regional aspects of the MSP project, and annual PIRs. It also provided letters of endorsement of the governments concerned, the HCFC Phase-out Strategy Countries and HCFC Phase-out implementing agency, namely Belarus, Bulgaria, Tajikistan, Ukraine and Uzbekistan and relevant Impcom reports and decisions of the Parties to the Montreal Protocol. Information was also obtained from UNEP's Regional Network for Europe and Central Asia.

38. UNIDO stated that due to changes to its computer software (from Lynx to Microsoft Exchange), access to the related documents of the MSP which were in the archives had become difficult. The PIFs for HCFC phase-out projects for Azerbaijan and Russian Federation were provided and later the strategy plan/outlines of Azerbaijan and Kazakhstan were added.

39. The list of project documents provided by the IAs and other sources of information used for the evaluation are listed in Annex 3

40. In order to augment information obtained from reviews of relevant documents interviews were conducted with persons associated with the project and/or its follow-up activities. The schedule for these interviews is provided in Annex 2. Due to logistic problems information from national stakeholders was obtained through a questionnaire administered through UNDP, Bratislava Regional Centre.

41. In addition to the guidance described in the TOR the Consultant applied to the evaluation effort his knowledge and experience in matters of Vienna Convention and its Montreal Protocol as well as his expertise in institutional and technical aspects of CFC and HCFC phase-out. He also applied as necessary his knowledge and proficiency in the Russian language which is common to most of the participating countries and received and reviewed some of the documents directly in Russian to help expedite the work.

1.4. Structure of the evaluation report

42. The unique nature of the project coupled with the somehow unusual circumstances of its implementation did not lend itself to the standard report structure that had been provided within the terms of reference. Some modification of the structure of the project became necessary in order to be able to reflect the unique situation to the extent possible. This modification is reflected in the table of contents.

2. Project description and development context

2.1. Project background

43. At the time the project was being formulated all the countries with economies in transition that were Parties to the Copenhagen Amendment had the obligation to phase out HCFCs in accordance with the phase-out schedule of Article 2 Parties. This required reductions in their HCFC consumption that allowed them the following levels of HCFC consumption relative to their baselines: 65% in 2004; 35% in 2010; 10% in 2015; 0.5% by 2020 and complete phase-out in 2030.

44. The Beijing Amendment of 1999 extended control measures for HCFC to production with a freeze in production by 2004 at the baseline. As of 2005-2006 all the CEIT countries of Europe and Central Asia except Kazakhstan were Parties to the Copenhagen Amendment (Kazakhstan ratified the Amendment on 28 June 2011). While some of the CEIT countries were not able to be in compliance with the 2004 obligation and might not meet the 2010 obligations as well a few others could have difficulty maintaining their compliance.

45. Thus in September 2005, following the GEF Operational Strategy for ODS, UNDP in coordination with UNEP and the World Bank with UNDP as the lead agency, submitted the regional medium-sized (MSP) project proposal: "Preparing for HCFC phase-out in CEITs: needs, benefits and potential synergies with other MEAs" for GEF support of US\$800,000, to be used, as a model for addressing similar issues in future, in addition to the environmental and developmental benefits. The MSP was in response to the implications to the obligations incurred by CEITs under the phase-out schedule for HCFCs of the Montreal Protocol as amended by the Copenhagen Amendment. The proposal received Government endorsements from most of the then eligible 13 CEITs, namely Azerbaijan, Belarus, Bulgaria, Hungary, Kazakhstan, Latvia, Lithuania, Poland, Russian Federation, Slovakia, Tajikistan, Ukraine and Uzbekistan. Early endorsements came from European CEITs which shortly after became members of the EU. The participating countries and their levels of consumption are shown in Table (x) below.

Table 1: Evolution of the GEF Regional Medium Size (RMS) HCFC Phase-out Strategy Project for CEITs (PIMS 3795)

<i>Country</i>	<i>2006 HCFC Consumption/(Production) (ODP tonnes)</i>	<i>Baseline HCFC Consumption/(Production) (ODP tonnes)</i>	<i>Date of Endorsement Letter for RMSP Participation</i>	<i>IA to which RMSP Endorsement Letter Addressed</i>	<i>IA Selected for RMSP by Country</i>	<i>IA Implementing RMSP</i>	<i>Remarks</i>
Azerbaijan	0.9	14.9	29 Jan. 2008	UNIDO	UNIDO	UNIDO	
Belarus	1.3	50.0	27 Jul. 2007	UNDP	UNDP	UNDP	Letter to UNDP Resident Representative
Bulgaria	10.6	81.7	30 Dec. 2005	UNEP		UNDP	Participated in the MSP but not the follow-up activities
Hungary*	**	135.8	18 Nov. 2005	UNDP			Not eligible at start of project
Kazakhstan	60.1	59.5	30 Jan. 2006	UNEP	UNEP	UNDP; UNIDO	Began with UNDP, later transferred to UNIDO
Latvia*	**	137.9	19 Dec. 2005	UNDP			Not eligible at start of project
Lithuania*	**	155.6	21 Dec. 2005	UNDP			Not eligible at start of project
Poland*	**	194.6	28 Mar. 2006	UNDP			Not eligible at start of project
Russian Federation***			17 July 2007	UNDP			
	845.6 (267.6)	3,990.9 (4,066.10)	14 Jan. 2008	UNIDO/G	UNIDO	UNIDO	Request for Production

			31 Jan. 2008	EF	Closure		
			22 Feb. 2008	UNDP; UNIDO			
Slovakia*	**	58.1	16 Jan. 2006	UNDP	Not eligible at start of project		
Tajikistan	3.6	18.7	14 Nov. 2001	UNEP	UNDP	Response to UNEP's message of 4 Nov. 2005	
Ukraine	97.3	164.2	3 Oct. 2007	UNDP	UNDP; WB	UNDP	Response to UNDP's letter of 11 July 2007
Uzbekistan	3.8	74.7	25 Feb. 2006	UNEP	UNEP; UNDP	UNDP	

* Countries became members of the EU and did not further participate in the project.

** HCFC consumption and production data are included in cumulative data reported by the EU.

*** Production data are presented in italics. Russian Federation is the only HCFC producer.

46. The Montreal Adjustment on HCFC Production and Consumption adopted at the 19th MOP which came into force in mid-2008 accelerated not only the HCFC phase-out schedules for Article 5 countries but also for Article 2 Parties whose allowable levels in 2010 for both HCFC production and consumption were reduced from 35% to 25% of the baseline with the levels by 2015 remaining unchanged at 10%. At the same time Parties were encouraged to promote selection of alternatives that minimize environmental impacts in particular impacts on climate, as well as meeting other health, safety and economic considerations. The adjustments and other decisions taken at the 19th MOP made the developmental aspects of ODS phase-out much more apparent. Therefore, as the Executive Committee of the Multilateral Fund accelerated the pace of support to Article 5 countries including neighbouring Article 5 CEITs (such as Armenia, Georgia, Moldova, Kyrgyzstan and Turkmenistan) to prepare HPMPs to guide their HCFC phase-out, HCFC phase-out in the Article 2 CEITs took on a new urgency.

47. UNDP resubmitted the regional MSP in March 2008 for GEF funding at the level of US\$745,000 with UNIDO as one of four implementing agencies (UNDP, UNEP, UNIDO and the World Bank). At the time of resubmission there were eight countries eligible to participate in the regional MSP (Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan). Bulgaria later lost its eligibility to participate in the follow-up investment activities following its membership in the EU.

2.2. Project summary

48. The project's primary goal is to develop country strategy outlines for HCFC phase out based on in-depth surveys of HCFC consumption and where applicable production, in eligible article 2 countries with economies in transition (CEITs) in Europe and Central Asia (specifically Azerbaijan, Belarus, Bulgaria, Kazakhstan, the Russian Federation, Tajikistan, Uzbekistan and Ukraine), and which will identify needs for further activities to assist these countries to remain in or attain compliance with their Montreal Protocol obligations, particularly noting the accelerated HCFC phase out requirements adopted by MOP 19.

49. The project will also make a global macro-economic analysis about directions in HCFC use, production and trade worldwide, including a more focused analysis on the impact of these global factors on the CEIT countries in particular. Industries and governments in developing countries will also benefit from a better understanding of the potential implications of the global HCFC demand and supply scenario.

50. Inter-linkages with other conventions will also be looked particularly in relation to HCFCs having a comparatively high global warming potential. The project will also assess the potential for synergies in the management of HCFC phase out and the management of other chemicals (i.e. Related to other ozone depleting substances, HFCs, POPs etc).

2.3. Project structure

51. The project was designed as a joint partnership (multi-agency), multi-component regional project. In terms of 2007 reported HCFC production and consumption data, it covered one large volume HCFC producing and consuming country (Russian Federation), two medium volume consuming countries (Kazakhstan and Ukraine) and five low to very low volume consuming countries (Bulgaria, Tajikistan, Azerbaijan, Belarus and Uzbekistan). There were three components to the project with UNDP and UNIDO as joint implementing agencies for one component and UNEP and the World Bank as implementing agencies for the other two components respectively. UNEP also had additional responsibility to assist both UNDP and UNIDO, focusing on “non-investment needs as well as coordinating the overall strategy-outline for each country and elaboration of regional facilitating initiatives”. The components of the project and implementation responsibilities are summarized in Table 2 below. Details of these responsibilities are provided in the Project Log Frame in Annex 1 (Terms of Reference) to the document.

Table 2: GEF Regional MSP Project: Preparing for HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs

Project Components

<i>Component</i>	<i>Project/Sub-Project</i>	<i>Participating Countries</i>	<i>Lead Agency</i>	<i>Assisting Agency</i>
A	Development of HCFC Phase-out Strategy Outlines for CEIT region	All participating CEITs (Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine, Uzbekistan)	UNDP; UNIDO	UNEP
A (1)	Development of National Strategy Outline for phase-out of HCFCs	Belarus, Bulgaria, Tajikistan, Ukraine, Uzbekistan	UNDP	UNEP
A (2)	Development of National Strategy Outline for phase-out of HCFCs	Azerbaijan, Kazakhstan*, Russian Federation	UNIDO	UNEP
B	Impacts and Benefits of Global HCFC phase-out: Investigation of global environmental impact of HCFC phase-out under the Montreal Protocol, taking into account global efforts in reducing GHGs.	All participating CEITs	World Bank	
C	Exploring Synergies: Examination of possibilities for synergies with other chemicals MEAs.	All participating CEITs	UNEP	

* Funds for Kazakhstan were transferred from UNDP to UNIDO as per letter of amendment of January 20, 2010 from GEF Secretariat to UNDP’s Executive GEF coordinator and copied to UNEP, UNIDO and the World Bank.

2.4. Project start and duration

52. The project was posted for GEF Council review from 27 March to 10 April 2008. The GEF approval date (MSP Effectiveness) and the original start and completion dates are provided in the milestones below.

Table 3: Original Project Milestones

<i>Milestones</i>	<i>Dates</i>
GEF CEO Endorsement/Approval	15 April 2008
MSP Effectiveness	1 May 2008
MSP Start	1 July 2008
Project Document Signature	6 August 2008
MSP Closing	31 December 2009
Terminal Evaluation/Project Completion Report	28 February 2009

2.5. Problems that the project sought to address

53. One of the key indicators of the Ozone Focal Area under GEF-4 is ODP-adjusted tonnes of HCFCs phased out from consumption. This is a key indicator as it is the principal measure of assessing a Party's compliance with its main obligations to the Montreal Protocol, namely the phase-out of ODS consistent with the schedules agreed under the Protocol based on the consumption/production data reported annually. An important aspect of data reporting is accuracy and credibility which are a measure of institutional capacity to track and assemble credible ODS consumption data. Inability to identify and monitor sources of ODS consumption could hamper the national authorities' ability to render required assistance to stakeholders who may need to take corrective measures both institutional and technological to remedy a situation that could potentially place the country in non-compliance or lead to, sometimes ill advised, illegal trade and consumption that could constrain the country's ODS phase-out efforts.

54. Additionally, identification and deployment of mature, energy efficient, and environmentally sound alternative technologies for phasing out ODS consumption is essential to a country's ability to achieve sustainable ODS phase-out.

55. The project sought to address these issues through conducting data surveys and analysis with the aim of producing HCFC strategy outlines that could be used to update the existing country programme and enable each country develop credible cost-estimated phase-out strategies that could attract international funding

56. In specific instances the project sought to address and assist in resolving peculiar issues that have contributed to a country being in non-compliance or potential non-compliance with some provisions of the Montreal Protocol.

2.6. Immediate and development objectives of the project

57. The development objective of the project is to develop HCFC phase-out strategies for the CEIT region, highlighting cost estimates for HCFC phase-out, associated training needs, and potential overlap with the future work and strategic objectives of other GEF Focal areas, in respect of Decision X/16 of the Montreal Protocol. This objective is to be attained by means of three objectives assigned to the four partner agencies. These are:

- a. To develop National Strategy outlines for phase-out of HCFCs in the participating CEITs. This involves inventorying sources of imports and end users, followed by survey at the sectoral, enterprise/end user levels, country-specific assessment and analysis of phase-out options that could form the basis of cost-estimated HCFC phase-out strategy.
- b. To investigate the global environmental impact of HCFC phase-out under the Montreal Protocol taking into account the global efforts in reducing GHGs.
- c. To examine possibilities of synergies with other chemical MEAs.

58. It is expected that attainment of these objectives could result in the development for the participating countries and the region of cost-estimated HCFC phase-out strategies that do not overlap efforts in environmental protection being made under other MEAs.

2.7. Baseline indicators established

59. Baseline indicators have been established for the development objective as well as the immediate (project) objectives. They have been used against target level indicators at end of project to monitor and assess the project's implementation progress (IP) and progress towards achieving the development objectives. Table 4 below shows a sample monitoring format with the relevant indicators that were established for assessing the achievement of the objective of preparing the strategy outlines which have also been used to evaluate the project. Indicators for the two other components of the project have not been reproduced since they were not implemented.

Table 4: Sample Format for Monitoring Implementation Progress and Progress Towards Meeting Development Objectives

To develop National Strategy outlines for phase-out of HCFCs in the participating CEIT countries. (Lead Agency: UNDP/UNIDO, with UNEP assisting) -National strategy-outlines for CEIT countries that will give guidance on HCFC phase out measures and which will contain specific outlines for requests at the sub-project level for future GEF funding needs.

Description of Indicator	Baseline Level	Target Level	Level at End of June
1. Collected data on HCFCs, CFCs, and HFCs consumption and end-users in the participating CEITs	No or weak data	Inventory data from the 8 participating countries	
2. National surveys on sector distribution of the chemicals use, distribution channels. The survey would possibly include information on larger and mid-size end-users	No survey done	8 Survey reports, inventory data from participating countries.	
3. Country-specific assessment to determine the situation of each individual participating country vis-à-vis their reporting and control obligations under the Montreal Protocol.	No assessment done	8.National Assessments which will be included as a chapter in the respective National Phase-out Strategy document.	
4. Country-specific analysis on how the consumption of HCFCs can be reduced (inclusive of investment and non-investment (training) needs).	No analysis done	8 Country-specific analysis which will form a part of the respective National Phase-out Strategy document.	
5. Additional targeted country-specific analysis based on compliance situation of the countries.	No analysis done	8 Country-specific analyses which will form a part of the respective National Phase-out Strategy document.	
6. Individual national strategy outline documents	No outline documents formulated	Elaborated measures addressing regional data exchange, technology transfer, and training requirements	
7. Region wide measures to facilitate HCFC phase out	No regional measures proposed		

2.8. Main stakeholders

60. In a regional project of this nature the principal stakeholders are the Governments involved, specifically their line Ministries and Ministries with similar or shared responsibilities or agencies that act on their behalf and their designated institutions. Beside Governments, stakeholders include organizations and individuals deriving direct or indirect benefits from the project.

61. The main stakeholders are listed in an annexes to the strategy outline documents as in the case of Azerbaijan, Belarus, Bulgaria, Tajikistan, Ukraine and Uzbekistan or may be inferred from the text as in the case of Kazakhstan. Table 5 provides the main stakeholders, besides government institutions and customs authorities.

Table 5: Stakeholders Identified

<i>Country</i>	<i>Stakeholders Identified</i>
Azerbaijan	Ministry of Ecology and Natural Resources (MENR); Centre for Climate Change and Ozone (under MENR), State Committee on Customs, HCFC end-user and service companies.
Belarus	Ministry of Natural Resources and Environmental Protection Agricultural and Processing Industries, Refrigeration and Air Conditioning Service Organizations, Manufacturing enterprises, Trading organizations, Railways
Bulgaria	Ministry of Environment and Water Refrigeration Service Companies and Technicians
Kazakhstan	Ministry of Environmental Protection, Coordinating Centre on Climate Change, Ozone Office, refrigeration/chiller manufacturers and service companies, food processing and cold storage, commercial, railway and refrigerated transport companies, foam manufacturers.
Tajikistan	Committee for Environmental Protection End users for in-house use, Importers and distributors, Refrigeration Service Companies and Refrigeration Technicians
Ukraine	Ministry of Ecology and Natural Resources Systems Houses, Polyurethane Foam Manufacturers using pre-blended polyol, XPS foam manufacturers, Refrigeration Equipment Manufacturers, Refrigeration Servicing Enterprises.
Uzbekistan	State Committee for Nature Protection, NOU Industrial Large Commercial Refrigeration Manufacturers, Large Cooling AC Manufacturers, Assembly/Service/Maintenance Enterprises, Importers and Distributors

2.9. Expected Results

62. Primary outputs from the MSP are three main documents reflecting the requirements of the three components of the project as described in Table 2 in “Project Structure”. As Components B and C were not implemented further elaboration of their expected results was not deemed necessary.

63. **Component A: National Strategies for HCFC phase-out in participating CEITs** - The principal result expected from the Lead Agencies (UNDP and UNIDO) is a **National HCFC Phase out Strategy Outline** document for each participating country, as follows:

- (i) **UNDP:** Belarus, Bulgaria, Tajikistan, Ukraine and Uzbekistan
- (ii) **UNIDO:** Azerbaijan, Kazakhstan and Russian Federation

64. The National Strategy Outlines should be based on factual current data from surveys. They should include action plans for implementation and conceptual identification of future phase out investment sub-

projects and capacity building initiatives to which further GEF funding (and other resources) may be applied. Specific areas in these National Strategy Outlines include i) development of more effective capacity for trade and licensing control for HCFCs and HCFC containing equipment; ii) ensuring consistent reporting of HCFC import, export, production and consumption information; iii) development of GWP technologies and techniques; and v) identification and basic preparation of prioritized phase out investments required to sustain phase out obligations in the longer term.

65. Recognizing the interdependence of national initiatives, this part of the project should also develop appropriate regional linkages that will facilitate mutual support of phase out efforts, including fostering networks that will share import and export data, and provide for interaction of scientific and technical capacity.

66. The National Strategy Outlines produced should also be in a form suitable for integration into updated national ODS Country Programs, where applicable and should serve as a stimulus for adoption within the national legal and regulatory framework governing ODS. It will provide a road map for each country to meet their respective phase out milestone obligations under the Montreal Protocol and do so in a manner consistent with other conventions and a sound chemicals management framework.

67. Finally the National Strategy Outlines should reflect the results of eight specific activities described in the MSP template³.

68. UNDP provided for the evaluation HCFC strategy outline documents for 4 of the 5 countries, except Ukraine developed based on a regional/sub-regional format consisting of its participating countries. These outlines were further developed into HCFC phase-out strategies. UNIDO provided outline documents for Azerbaijan and Kazakhstan but not for the Russian Federation.

69. **Component B: Impacts and benefits of global HCFC phase-out** - The output expected from this component is a comprehensive report from a desk study using available documents from TEAP, IPC, Ozone Secretariat, UNEP and other sources. It should provide analysis of the global HCFC market and options and benefits of HCFC phase out. Included in the report should also be determination of stockpiles as well as by-products management and benefits of destruction.

70. **Component C: Exploring synergies** - The expected result is a report that explores the interaction between HCFC phase out and the objectives of other chemicals conventions. It is also expected to explore incorporation of energy efficiency aspects into HCFC phase out strategies, building on some ongoing EE projects and others. A third aspect of the output is the results of exploration of options for non-investment work such as training in best practices and energy efficiency labelling.

71. The two agencies (World Bank and UNEP) later cancelled the projects, so the two components were not implemented.

2.10. Additional Results

(a) Solutions to Topical Issues

72. Making use of their vast experience in assisting countries to address technical and legal issues affecting their status as Parties to the Montreal Protocol and its amendments, UNDP and UNIDO used the occasions of the data survey and development of the outlines/strategies to assist countries resolve

³ GEF: Medium- sized Project Proposal: Request for Funding Under the GEF Trust Fund (GEF Agency Project ID #3597) pages 8-10

issues relating to their consumption data which could affect their standing as Parties to the Protocol. Countries assisted included Azerbaijan, Tajikistan and Ukraine.

(b) Follow-up/Secondary Outputs

73. Documents that relate to MSP project or arising from its results but not the subject of the evaluation have been referred to as follow-up or secondary outputs.

(i) GEF/UNDP Documents: Initial Implementation of Accelerated HCFC Phase-Out in the CEIT Region (Belarus, Tajikistan, Ukraine and Uzbekistan)

74. Following completion of the MSP UNDP obtained project preparation grant to prepare a follow up Full Scale Project (FSP) (PIMS 4309) under the title "Initial Implementation of Accelerated HCFC Phase-Out in the CEIT Region". The FSP was developed in response to the obligations incurred by participating countries (Belarus, Tajikistan, Ukraine and Uzbekistan) under their respective phase out schedules for HCFCs of the Montreal Protocol. The documentation on the FSP is made up of one general document covering issues common to all the four countries and four separate documents specific to the four countries which are annexes to the common document. The project has two components, namely:

- Component 1 - Regional Information Exchange and Networking.
- Component 2 - National Capacity Building and Technical Assistance.

75. The project was approved in late August 2012, started in March 2013 and will end in June 2015. The total allocated resources (GEF grant and co-financing) amount to US \$34,445,000 with the following breakdown:

GEF Grant	US\$ 9,000,000
Government	US\$ 5,400,000
Other	US\$ 20,095,000
In-kind contributions	US\$ 3,645,000

The breakdown of the total resources in by country is as follows:

Country	Total (US \$)	GEF (US \$)	Government (US \$)	Other (US \$)	In-kind (US \$)
Belarus	9,390,001	2,495,001	1,050,000	5,845,000	1,100,000
Tajikistan	4,487,001	1,270,001	950,000	2,650,000	580,000
Ukraine	13,497,501	3,597,501	1,350,000	8,550 000	1,015,000
Uzbekistan	6,737,497	1,637,497	2,050,000	3,050,000	950,000

76. The FSP 4309 is not included in the expected results as the subject of the evaluation per se. However, as a follow-up programme the related documents submitted have been reviewed to assess their consistency with the provisions made in the MSP (PIMS 3597) under evaluation and how the MSP meets the various criteria, such as its sustainability.

(ii) GEF/UNIDO Document – PIF for Azerbaijan

77. UNIDO provided a Project Identification Form (PIF) for an FSP for Azerbaijan entitled "Initiation of the HCFCs Phase-Out and Promotion of HCFC Free Energy Efficient Refrigeration and Air Conditioning Systems" with the submission date of the project was 19 August 2011. It is intended under the project to prepare a national phase out strategy to support the Republic of Azerbaijan in achieving accelerated HCFC phase out in line with Montreal Protocol and its amendments. The primary objective is

capacity building while the secondary objective is direct phase out of HCFCs in the foam and refrigeration manufacturing and air conditioning sectors. Updated information from UNIDO and a revised PIF obtained from the GEF website showed total resources for the FSP to be US \$9.17 million, including GEF grant of US \$2,62 million and total cofinancing of US \$6.55 million. The indicative funding is broken down as follows:

GEF Grant	US\$ 2,620,000
End Users Grant	1,650,000
End Users In-kind	2,650,000
Government In-kind	2,200 000
UNIDO GEF Agency	50,000

Additional information, also obtained from the website, shows that the PIF has been screened by STAP with a response of “major revision required”. It also received PPG approval (US \$40,000) in March 2012.

78. The PIF is not the subject of the evaluation per se. However it has also been reviewed in light of the overall objective of the MSP and its intended outcomes and presented as additional outcomes or achievements for the country.

(iii) GEF/UNIDO Document – PIF for the Russian Federation

79. UNIDO also provided a PIF of FSP for the Russian Federation in response to requests for the country’s HCFC strategy outline, the required output from the MSP. The PIF referred to above was a re-submission with the Re-submission Date of 29 September 2009 and the following indicative calendar.

Milestones	Expected Dates
Work Program (for FSP)	11.2009
CEO Endorsement/Approval	03.2010
GEF Agency Approval	04.2010
Implementation Start	06.2010
Mid-term Review (if planned)	06.2012
Implementation Completion	06.2015

80. The primary objective is the direct phase out of 600 ODP tonnes of HCFCs in the foam and refrigeration manufacturing sectors in the Russian Federation to meet the 2015 Montreal Protocol target. The GHG emissions reduction resulting from the phase out of HCFCs will be approximately 15.6 MMT CO₂. 2. The secondary objective of the project is to introduce more energy efficient designs, through technology transfer, during the conversion of refrigeration and air conditioning manufacturing facilities. By doing the project aims to achieve indirect GHG emissions reduction through reduced electricity consumption in the commercial and industrial refrigeration sectors, is approximately 10 MMT CO₂ in 5 years. The indicative total funding is US \$59,800,000 , including agency fee, broken down as follows:

GEF Grant	US\$ 19,800,000
Private sector grant and in-kind	37, 500, 000
Government in-kind	2,150, 000
UNIDO (GEF Agency) in-kind	350, 000

81. Additional information obtained by the Evaluator from the GEF website shows that the PIF had been screened and received STAP consent on 9 October 2009. It received a PPG approval on 1 December 2009 and CEO endorsement on 8 December 2010.

82. In spite of several requests to do so UNIDO had not at the time of this report provided the HCFC phase out strategy outline for the Russian Federation in order to establish the link between the country's strategy and the proposed FSP. A presentation by the Russian representative to a recent meeting⁴ of the Regional Network of ozone officers of Europe and Central Asia obtained from the Coordinator of the Network (Mr. Halvart Koppen) stated the objectives of the "UNIDO/GEF/Russian Ministry of Natural Resources project" as follows:

- Establishment of a project implementation mechanism (implementation group, coordinating committee, etc.);
- Institutional strengthening;
- Initiation of HCFC phase-out activities in the foam and refrigeration sectors;
- Preparation of strategies for the ODS destruction and establishment of ODS collection networks;
- Communication strategy.

83. The above-stated objectives of the UNIDO/GEF/Russian Ministry of Natural Resources project are consistent with those of the regional MSP for which the Russian Federation was provided GEF financial support under the MSP for its preparation in partnership with UNIDO. Hence this PIF and subsequent FSP emanating from it have been presented as additional outcomes for the Russian Federation potentially arising from the GEF/UNDP/UNEP/UNIDO/WB Regional MSP: Preparing for HCFC Phase-out in CEITs.

84. Information received from the Regional Coordinator of the ECA Regional Network indicated that on July 3, 2013 the State Duma of the Russian Federation passed Federal Law "On amending Federal Law "On Environment Protection" and certain legislative acts of the Russian Federation. It was endorsed by the Council of Federation on July 10, 2013 and signed into law by the President on July 23, 2013.

85. A summary of achievements taken from the perspectives of the participating countries are shown in the box below.

⁴ Annual Meeting of the Regional Ozone Network for Europe & Central Asia (ECA Network Meeting) Ohrid, Macedonia FYR, 21-23 May 2013 organized by UNEP OzonAction with the support of the Multilateral Fund for the Implementation of the Montreal Protocol.

Box #1
Overview of Outcomes and Outputs

The Regional MSP for Countries with Economies in Transition (CEITs) was implemented with the financial support of GEF from July 2008 to June 2011 with UNDP and UNIDO as lead Implementing Agencies. Some direct significant outcomes include the following.

I. UNDP

a. HCFC Phase out Strategies

On the basis of the HCFC Phase out Strategy Outlines earlier developed under the regional MSP, UNDP completed HCFC phase out strategies for four countries: Belarus, Bulgaria, Tajikistan, and Uzbekistan ; and one outline was formulated for Ukraine as a part of follow-on GEF/FSP project.

b. Full Scale Project to Phase-out HCFC in four countries

Based on the HCFC phase-out strategies it has developed a full scale phase out project for the four countries which mobilised a total of US \$9 million of GEF Trust funding and US \$25.5 million in co-funding. The completion of the project in 2015 will result in almost complete phase-out of HCFCs in Belarus, Tajikistan and Uzbekistan and bring Ukraine into compliance with the accelerated HCFC reduction schedules in 2015 and 2020.

c. Technical Assistance to Government of Tajikistan

Technical Assistance was provided to the Government of Tajikistan to resolve its erroneous HCFC baseline level which arose out of miscalculation of its HCFC consumption following the breakup of the USSR. As a result of presentations made at the Implementation Committee MOP 23 decided to revise its baseline (Dec. XXIII/28) from 6.0 to 18.7 ODP tonnes, thus avoiding potential non-compliance situation.

d. Technical Assistance to the Government of Ukraine

Technical assistance was provided to the Government of Ukraine to identify the sources of HCFCs and the actual current levels of HCFC consumption which would potentially place Ukraine in non-compliance. In that case Ukraine would avoid finding itself in a situation of non-compliance in a much later date when it will be more difficult to resolve. Further assistance was provided to the Government to make a presentation to the Implementation Committee regarding the country's current situation of non-compliance and prepare a plan of action for returning to compliance within the shortest possible time. 24th MOP approved a new HCFC phase-out schedule for Ukraine to enable the country to return to compliance in 2015.

II. UNIDO

e. Project Identification Form (PIF) for Azerbaijan

UNIDO assisted the Government of Azerbaijan to prepare a PIF for SPF for consideration by GEF. US\$ 2.62 million in funding from the GEF Trust Fund and US\$ 6.55 million in co-funding will be available to Azerbaijan to strengthen its institutional capacity and phase out its HCFC consumption in the foam and refrigeration sectors to meet its Montreal Protocol obligations. UNIDO provided technical assistance to identify the sources and accurately assess its current level of HCFC consumption.

f. Project Identification Form (PIF) for the Russian Federation

UNIDO assisted the Government of the Russian Federation to prepare a PIF for SPF for consideration by GEF. US\$ 19.8 million in funding from the GEF Trust Fund and US\$ 40 million in co-funding will be available to the Russian Federation. The project will enable Russia to phase out 600 ODP tonnes HCFCs, provide additional institutional strengthening and transfer of innovative and efficient production technologies and production and use of energy efficient products and thereby sustain its compliance with the Montreal Protocol.

g. Amendments to the Federal Law of the Russian Federation on Environment Protection

UNIDO also assisted the Government of the Russian Federation to enact a law that gives legal backing to activities under the SPF, including Components 1, 4, and 5 of the SPF, namely Building institutional capacity, Development of ODS destruction facility and supporting recovery network and Stimulating market growth for energy efficient refrigeration and air conditioning equipment respectively. The Federal Law "On amending Federal Law "On Environment Protection" and certain legislative acts of the Russian Federation" was "On amending Federal Law "On Environment Protection" and certain legislative acts of the Russian Federation" was adopted by the State Duma on July 3, 2013, endorsed by the Council of Federation on July 10, 2013 and signed into law by the President on July 23, 2013. The Amendment *inter alia*. establishes requirements for handling of ozone-depleting substances, including their production, use, transportation, storage, recuperation, reclamation, recirculation and destruction as well as import in, and export from the Russian Federation and provides for economic incentives for phase out of ODS and products containing them, state recording of their handling and state supervision of compliance with ODS handling requirements.

h. Ratification of Amendments to the Montreal Protocol by Kazakhstan

At the time that MSP project proposal was approved in 2008 Kazakhstan had not ratified the Copenhagen and Beijing Amendments. During the data survey and strategy outline development UNIDO provided technical assistance to the Government of Kazakhstan to expedite the process of ratification of the Amendments. Kazakhstan ratified the Copenhagen and Montreal Amendments on 28 June 2011.

3. Findings

86. This was a unique regional project involving countries with disparate levels of HCFC consumption working with as many as 4 implementing agencies that attempt to address three different themes within one project employing four different international agencies with different internal rules of procedure to work in partnership on a limited budget for a limited objective. Another compounding factor is that not only do the 7 - 13 participating countries have disparate levels of HCFC consumption, from 2.9 - 842.7 ODP tonnes, but also given the vast territorial spread from the manufacturing hub of Europe to the manufacturing hub of Asia, China, they also possibly have different levels of economic interest and motivation to participate in the regional project.

87. As can be seen from Table 6 below at the time the MSP proposal was resubmitted in 2008 three countries Kazakhstan, Russian Federation, and Ukraine accounted for 99.5% of the total consumption (2007) with Russia alone accounting for 85%. The four remaining countries, Belarus, Azerbaijan, Tajikistan and Uzbekistan accounted for less than 1%. Currently (2011 data) the three countries account for about 98% with Russia accounting for 80%, while the remaining four countries now account for about 2% of the total consumption. In effect, although the other three countries Azerbaijan, Tajikistan and Uzbekistan are Article 2 countries they are in actual fact LVCs. It is against the background of this highly skewed regional HCFC consumption profile that the regional MSP proposal was formulated.

88. It was first formulated and submitted in 2007 with three implementing agencies with implementation arrangements based on each agency's previous country of activity during the CFC phase out. The project was resubmitted in 2008 with addition of a fourth agency and redistribution of the funds but not the HCFC consumption.

Table 6 shows consumption and production data for the Article 2 CEITs (excluding Bulgaria) from 2004-2011 and the current status (as of 2011 reporting year) of compliance with the 2010 reduction step.

Table 6: HCFC Consumption of Article 2 CEITs in ODP tonnes (2004 - 2011) and their Levels of Percentage Reduction in 2011

<i>No.</i>	<i>Country</i>	<i>2004</i>	<i>2005</i>	<i>2006</i>	<i>2007</i>	<i>2008</i>	<i>2009</i>	<i>2010</i>	<i>2011</i>	<i>Baseline</i>	<i>2011 as % of Baseli ne</i>	<i>2011 Level of Redu ction %</i>
1	Azerbaijan	0	0	0.9	0.8	0.8	3.5	0.3	7.63	14.9	51	49
2	Belarus	3.1	0.6	1.3	0.8	0.4	10.4	10	9.02	50	18	82
3	Kazakhstan	34.3	40	60.1	60.9	62.8	63	110	90.75	39.5	230	-130
4(a)	Russian Federation	731.6	505	845	1,028.30	1,133.60	940.4	733.8	842.69	3,996.90	21	79
4(b)	<i>Russian Federation*</i>	<i>256.8</i>	<i>221.9</i>	<i>267.6</i>	<i>281.4</i>	<i>279</i>	<i>292.1</i>	<i>552.8</i>	<i>495.72</i>	<i>4,066.10</i>	<i>12</i>	<i>88</i>
5	Tajikistan	3.1	3.5	3.6	3.8	3.9	2.6	2.8	2.9	18.7	16	84
6	Ukraine	84.3	80.4	97.3	93.5	75	63.5	86.9	93.29	164.2	57	43
7	Uzbekistan	1.8	3.5	3.8	0.1	2.3	1.8	0.9	4.14	74.7	6	94
Total (Consumption)		858.2	633.0	1,012.0	1,188.2	1,278.8	1,085.2	944.7	1,050.4	4,358.9		

* Production data are in italics. Only Russian Federation produced HCFCs.

3.1. Project Design and Related Issues

89. Consistent with its mandate, the project was designed as a regional medium-sized project with limited scope not expected to go beyond country studies. The long term objective called for project types including enabling activities, technical assistance and capacity building with some investment assistance, which aim to maximize synergies between HCFC phase out and GHG abatement benefits. The project sought to provide the first step in HCFC phase out process in CEITs by developing HCFC phase-out strategy outlines for the CEITs region and identify regional measures that would facilitate the country strategies.

90. In addition to elaborating on potential synergies of future work with the strategic objectives of the other GEF Focal Areas, in respect of Decision X/16 of the Montreal Protocol it was expected to integrate with the strategies broader aspects of HCFC phase out such as trade dynamics both within the region and globally. Thus the project was designed to cover three Components, namely HCFC phase out strategies, trade dynamics and potential synergies with other chemicals MEAs.

91. Although the project was to cover the total regional HCFC consumption of 1019 ODP tonnes, as noted above, at that time Russian Federation accounted for 845 ODP tonnes or 83% of the total consumption while the three countries Azerbaijan, Tajikistan and Uzbekistan accounted for only 5.5 ODP tonnes or 0.5% and the Article 2 Central Asian states (Kazakhstan, Tajikistan, and Uzbekistan with Azerbaijan added accounted for only 65.6 ODP tonnes or about 6% of the consumption). Therefore the regional project consisted of an extremely large volume HCFC consuming country grouped with LVCs and VLVCs, a situation which was unwieldy and could have contributed to the fragmentation of the project as a regional project as it was not an optimal way of achieving regionally-based results.

92. To what extent the participating CEITs were involved at the conceptual stage of the project's formulation was not evident to the evaluator. However, as indicated in Table 1 the Government endorsement letters made available to the evaluator show that while the Central European countries (almost all of whom became ineligible for GEF assistance shortly after) and the Central Asian countries (Kazakhstan, Tajikistan and Uzbekistan) endorsed the project in the early stages between mid-November 2005 and end of February 2006. However the Eastern European CEITs, Russian Federation and Belarus sent their letters of endorsement on 17 July and 27 July 2007 respectively, while Ukraine sent its letter of endorsement in October 2007, after the submission of the project to GEF Secretariat on 17 August 2007.

93. The project was submitted with UNDP, UNEP and World Bank as the implementing agencies for the three components already discussed above with the three agencies being the Lead for one of the three components. However the proposal was resubmitted on 28 March 2008 with UNIDO as additional implementing agency sharing with UNDP the task of conducting the HCFC surveys and preparing the strategy outlines. There was redistribution of the funds but no adjustments to implementing responsibilities regarding the phase out strategies in the Russian Federation, given the large volumes of HCFCs both from production and consumption in the country.

94. In the endorsement letter to the UNDP Resident Representative the GEF National OFP of the Russian Federation expressed the Ministry of National Resources' preference for a national phase out strategy and informed UNDP that completion of a proposal the Ministry was working on in cooperation with UNIDO was imminent, and recommended that UNDP as the lead Agency for the regional project conducts negotiations with UNIDO in order to establish cooperation and coordination among the projects. He added that the MNR was making its position known to UNIDO in order to avoid any duplication during the project preparation process and to agree on the most effective ways for their implementation.

95. Thus the MNR expected the agencies to cooperate and coordinate their activities regarding the Russian Federation's HCFC phase out obligations, given its broad scope. There have been several examples, such as in Brazil, India, China where agencies have collaborated to facilitate or expedite ODS phase-out programmes in situations similar to that of the RF. However there is no evidence of any activity between the two agencies that was aimed at achieving such collaboration since the regional MSP proposal submitted on 27 March 2008 was the same as the first without any structural changes even though the number of implementing agencies working on the strategies had increased with redistribution of the allocated GEF funds. As a result the HCFC phase out activities in the RF appears by default to be the responsibility of one implementing agency.

96. As a regional project, the MSP lacked some key ingredients. These include:

- A formal agreement that spells out the roles and responsibilities of each organization and modes of interaction laterally and vertically. UNEP signed such a memo to establish a coordinating mechanism called Interagency Project Committee covering the countries for which UNDP was the IA. Such a memorandum among the four agencies could have been helpful, or in the least some formal arrangements or agreement between UNDP and UNIDO as co-lead agencies on modalities might have enhanced efficiency of the implementation of the regional programme.
- Funded management (and monitoring) unit that would also be a repository of information on the project for participating countries to promote information sharing. For instance, in spite of several requests the Evaluator did not receive any information on the three participating countries of UNIDO until very late in the process when a draft copy of the strategy outline for Azerbaijan in the original language (Russian) was received.
- Mechanism for the exchange of information among agencies, their experts and the stakeholders. Interviews showed that there was very little of such exchange.
- Funded forum, such as periodic workshops, for exchange of experiences, information, and other activities of common good. Due to limited budget, except in the margins of network meetings no formal meetings or workshops appear to have taken place among all seven countries.

3.1 (a) Lessons from other relevant projects

97. All the four lead agencies for various components of the MSP (UNDP, UNEP, UNIDO and the World Bank) are implementing agencies for the Multilateral Fund for the Implementation of the Montreal Protocol and have considerable experience in assisting governments and enterprises conduct surveys on their ODS consumption, prepare country programmes, and/or projects for funding under the Multilateral Fund and activities similar to those they were undertaking under the regional MSP. Furthermore they already have experience working in the region, having assisted countries in the region to phase out their consumption of CFCs.

3.1 (b) Planned Stakeholder Participation

98. It was planned to utilize the country expertise and established consultative networks that were involved in the successful GEF financed CFC phase-out programmes in the CEITs to implement the project. The NOUs were planned to provide interface between project teams and stakeholders during consultations that would be used to collect information. That was the case during the project's implementation through their impact on the data surveys and other activities varied from country to country.

3.1 (c) Replication Approach

99. A project that involves data collection across several countries by different agencies required a means of replicating results from one country to another. In this regard the development of data collection template initiated by UNIDO played an important role towards replication of results of the MSP. The template was a subject of discussion at the workshop organized by UNIDO in Moscow in December 2007. It was adapted by UNDP to its method of data collection that involves the "top-down/bottom-up approach". Besides, in the case of UNDP one lead international consultant was in charge of the work in all its five partner countries, which enhanced data reliability and replicability.

3.1 (d) Management Arrangements

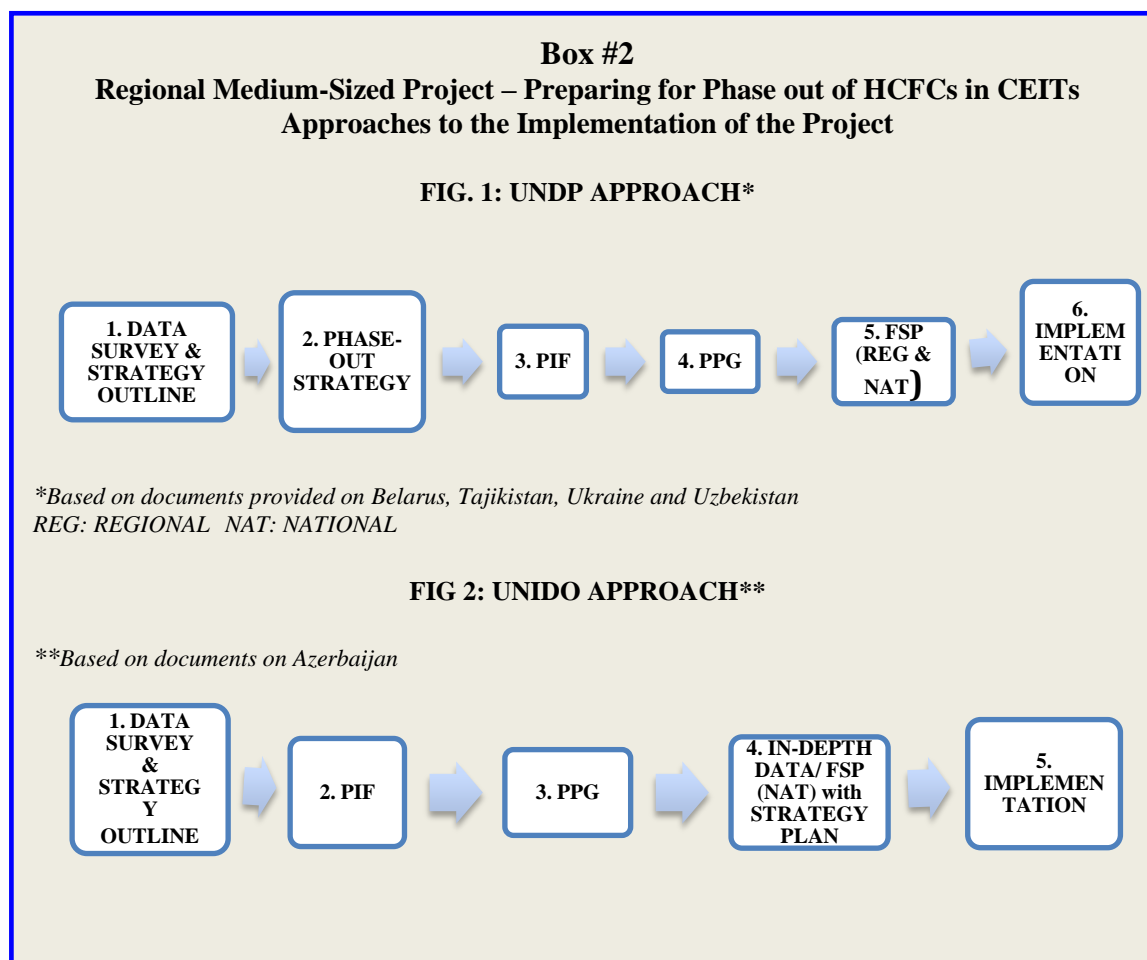
100. Drawing on excellent coordination between the GEF agencies during the CFC phase-out in the regions UNDP had the overall responsibility to coordinate the project. This activity was carried out using its organizational structure within the region (Regional Technical Advisor and Country offices). A steering committee made up of the participating GEF Agencies and GEFSec was proposed to meet annually to discuss progress made and to ensure that the results of the various components were being taken into account in the survey work at the national level. At one point it became necessary for UNEP to transfer funds to UNDP for the country level work that it should have undertaken. This created additional problems when it became necessary to transfer funds of a country that had switched implementing agency during implementation as administratively the fund transfer had to be rerouted through UNEP.

3.2. Project Implementation

With significantly large amounts of HCFCs in production and consumption in Russia the country's HCFC phase out priority seemed to be that of developing national rather than regional programmes to meet the accelerated HCFC phase out schedule. Thus the implementation of the principal component (Component A - preparation of phase out strategies) of the MSP which eventually became the project by default when both the World Bank and UNEP withdrew from implementation of Components B and C respectively, became fragmented. The review of documentation on two outcomes presented to the Evaluator by UNDP and UNIDO appears to show some divergence in the approaches to eventual HCFC phase out. While UNDP follows the procedures described in the project's logical frame, UNIDO's approach, based on the information provided, appears to skip the strategy development combining it with the full scale project development. The PIF of Azerbaijan prepared with the assistance of UNIDO, whose objective is to achieve compliance of the Republic of Azerbaijan with the accelerated Montreal Protocol HCFCs phase out requirements through the initiation of the HCFCs phase out, states as follows: The primary objective is institutional enforcement through the assistance in preparation and implementation of legislative and regulatory measures and capacity building. In particular, the framework of this part of the Project will be devoted to preparation and adoption of a formal National HCFCs Phase out Strategy and National Action Plan, which will be utilizing results from current GEF Regional HCFC survey and phase out strategy project.

101. The divergence in the approaches is to be expected since they are independent agencies applying their own in-house procedures to implement the project to achieve the expected results, namely to achieve compliance of the participating countries with the Montreal Protocol. What is important is that the objectives are achieved for all the countries within similar time frames.

102. The approaches are illustrated in the figures in Box Number 2 below.



3.2 (a) Adaptive management

103. Given the circumstances of the project adaptive management was employed successfully by both UNDP and UNIDO to enhance the pace of project implementation. In theory the objective of component A of the MSP project as approved was limited in scope, that of assisting the countries to prepare for phasing out HCFCs by carrying out HCFC surveys and preparing strategy outline from the results of these surveys. In practice the dynamic approach adopted by UNDP experts applying the results of the surveys to the development of HCFC phase-out strategies proved efficient as this approach facilitated HCFC phase-outs in the participating countries and thus avoiding further delays to the development of eventual full-sized projects for the countries.

104. As the project got fragmented, particularly with components B and C not being implemented the two agencies (based on the PIFs and in the case of UNDP the full scale strategies prepared for the countries) addressed some of the issues in the full-sized projects prepared for the countries. Information provided by UNDP indicated that, as an example, with respect to issues of GWPs in foam production it applied results from its pilot MLF-funded programmes on alternative foam technologies, proposing low GWP methyl formate technology for use in some foam production activities in Ukraine. The programme was adjusted to include demonstrations in the follow-up investment projects of innovative practices identified during the project development such as natural cooling techniques in refrigeration servicing being promoted in Tajikistan.

105. UNDP had also made the assessments of the continuous HCFC-based equipment supply based on assumptions of its global production in light of imminent HCFC production controls and forecast increased supplies at cheap price which could lead to consumption bubbles in future, a situation confirmed by some countries – Uzbekistan, Tajikistan.

3.2 (b) Partnership arrangements

106. Partnership arrangements were strong in most of the countries which, in the case of UNDP partner countries translated into high level of support offered to the international consultant and his team as well as the high level of quality of data collected in some of the countries, such as Tajikistan. Most of the Ozone units, such as in Kazakhstan enjoy strong support from their line Ministries and play effective coordinating role for the public and private sector stakeholders, including domestic/commercial and industrial refrigeration equipment producers, maintenance and servicing organizations and technicians, foam producers, traders and HCFC end users. In a couple of countries (Ukraine and Azerbaijan) lack of stable unit or non-existent unit made cultivation of such partnerships initially difficult resulting in delays in initiating activities.

3.2 (c) Project Finance

107. The Evaluation is required to assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data are required, including annual expenditures and assessment of variances between planned and actual expenditures. However, given the nature and circumstances of the project's design and implementation, including its multi-agency, multi-component and multi-national characteristics providing such details is not feasible, especially in the given format in the ToR. The format has been modified to be able to provide an overview of the projects' finances. US \$745,000 was allocated from the GEF Trust Fund to cover the three main components of the project and the terminal evaluation. The funds were allocated to the IAs involved in line with the activities to be undertaken as shown in Table 7A below. UNEP was allocated 50% of the amounts allocated to UNDP and UNIDO for country level activities (except for the Russian Federation where it was 33%) to assist the two agencies. Thus UNEP was allocated the amount of US \$180,000 to assist both UNDP and UNIDO in the country level activities and US \$40,00 for the work on synergies.

Allocation and Utilization of GEF Funds

Table 7(A): GEF Funds Allocated

Project Component		Country	Approved GEF Funds (US \$)				
			WB	UNDP	UNIDO	UNEP	Total GEF
A	Data Survey/Strategy Component	Azerbaijan			25,000	12,500	37,500
		Belarus		50,000		25,000	75,000
		Bulgaria		35,000		17,500	52,500
		Kazakhstan		40,000		20,000	60,000
		Russian Federation			145,000	47,500	192,500
		Tajikistan		25,000		12,500	37,500
		Ukraine		60,000		30,000	90,000
		Uzbekistan		30,000		15,000	45,000
B	Global study		100,000				100,000
C	Synergies					40,000	40,000
D	Evaluation			15,000			15,000

Grand Total		100,000	255,000	170,000	220,000	745,000
-------------	--	---------	---------	---------	---------	---------

108. As mentioned earlier, during implementation, UNEP's funding allocations for its national level Component A activities in the countries were transferred to UNDP and UNIDO in line with their activities in those countries. However, the funds allocated to UNDP remained unutilized and were at a later date returned to UNEP. Furthermore, as indicated elsewhere in the report, UNEP and World Bank cancelled components B and C of the project and returned the funds. The manner of utilization of the funds is reflected in Table 7(B) below.

Table 7(B): Utilization of Approved GEF Funds

Project Component		Country	GEF Funds Utilized/Unutilized (US \$)					Total Funds Approved
			WB	UNDP	UNIDO	UNEP	Returned/Unutilized	Funds Utilized
A	Survey/Strategy Component	Azerbaijan			37,500	0		37,500
		Belarus		50,000		0	25,000	50,000
		Bulgaria		35,000		0	17,500	52,500
		Kazakhstan		0	60,000	0		60,000
		Russian Federation			192,500	0		192,500
		Tajikistan		25,000		0	12,500	37,500
		Ukraine		60,000		0	30,000	90,000
		Uzbekistan		30,000		0	15,000	45,000
B	Global study		0				100,000	0
C	Synergies					0	40,000	0
D	Evaluation			15,000				15,000
Grand Total			0	215,000	290,000	0	240,000	505,000

109. Co-financing for the project was to be provided by some of the implementing agencies and national governments. These included cash contribution from the World Bank to support component B (Global study) of the project and contributions in kind from UNEP and UNIDO as well as from some national governments. However, since the World Bank and UNEP cancelled both components B and C of the project respectively, the planned cofinancing did not materialize. Table 7(C) shows the planned and actual co-financing for the project.

**Table 7(C): Project Cofinancing
Cofinancing Sources (US \$)**

Name of cofinancier (source)	Classification	Type	Planned	Actual	Remarks
World Bank	Imp. Agency	Cash	300,000	0	Project component was cancelled
UNEP	Implementing Agency	In kind	50,000	0	Project component was cancelled
UNIDO	Implementing Agency	In kind	110,000	110,000	Workshop organized by UNIDO in December 2007 and cost of preliminary data collection in Russian Federation

Governments (8)	National Government	In kind	75,000	200,000	In-kind contributions (Belarus, Tajikistan, Ukraine, Uzbekistan)
Sub-total cofinancing			535,000	310,000	

3.2 (d) Monitoring and Evaluation: design at entry and implementation

110. As indicated earlier, UNDP as the coordinating agency was responsible for the project's monitoring and evaluation. Monitoring and evaluation procedures were established at the beginning of the project as discussed in section 2.7 (Baseline indicators established) and conducted in accordance with established GEF procedures. It was planned to have Project Implementation Review (PIR) annually with terminal evaluation that would concentrate on the country surveys, assessing the quality of outputs and level of stakeholder involvement. Annual Project Reviews (APRs) and Project Implementation Reports (PIRs) were issued by UNDP in 2010, 2011 and 2012 to report on progress and related issues of the project's implementation for the previous year ending on June 30. PIRs were compiled based on the inputs received from partner agencies. Since UNEP and World Bank got their components of the project closed UNIDO was the only agency that had obligation to report to the coordinating agency substantive information on progress of the work on the data surveys and related activities.

111. As described in the "Structure of the project", the implementing agencies and their corresponding participating countries were as indicated below. Bulgaria was not eligible for follow-up activities; hence after the preparation of the HCFC strategy outline it was not included in the preparation of the HCFC phase out strategies and the corresponding FSPs.

- **UNDP:** Belarus, Bulgaria, Tajikistan, Ukraine and Uzbekistan
- **UNIDO:** Azerbaijan, Kazakhstan and Russian Federation

112. During the evaluation all the APRs/PIRs were reviewed and assessed for quality of monitoring as well as achievements from various activities with time. Attention was focused on IP and progress towards meeting development objectives. Table 8 below provides a summary report on the monitoring of progress towards meeting development objectives during the end 2010-2011 project cycle (30 June 2011). The targets and corresponding achievements as reported are reproduced together with the Evaluator's comments and rating. The comments and ratings are given for the monitoring process itself as well as for the actual activity reported to have been undertaken. For the purpose of these assessments the countries are grouped into two. The UNDP partner countries; Belarus, Bulgaria, Tajikistan, Ukraine and Uzbekistan are referred to as **Group 1** countries, while UNIDO partner countries: Azerbaijan, Kazakhstan and Russian Federation are referred to as **Group 2** countries.

Table 8: Monitoring Progress towards Meeting Development Objectives as at June 30, 2011 (Strategy Outlines)

Objective: To develop National Strategy outlines for phase-out of HCFCs in the participating CEIT countries. (Lead Agency: UNDP/UNIDO, with UNEP assisting) -National strategy-outlines for CEIT countries that will give guidance on HCFC phase out measures and which will contain specific outlines for requests at the sub-project level for future GEF funding needs

Target	Level at End of 30 June 2011 (UNDP Monitoring Report)	Evaluation Comments and Rating
--------	---	--------------------------------

Inventory data from the 8 participating countries (including Bulgaria).	<p>1) Required inventory data was collected by each participating country, including (a) annual consumption and (b) sectoral/end user consumption.</p> <p>2) All countries reported annual consumption data to the Ozone Secretariat.</p>	<p>In 2011 all 8 countries reported 2010 data accurately and on time to the Ozone Secretariat. 4 countries (Belarus, Russian Federation (RF), Tajikistan and Uzbekistan) were in compliance with the 2010 HCFC reduction step while three (Azerbaijan, Kazakhstan and Ukraine) were not.</p> <p>ACTIVITY RATING: HS (for all 8 countries), since all the countries reported data accurately, even if some were in non-compliance;</p> <p>M and E RATING: S</p>
8 survey reports, inventory data from participating countries.	Data collected on HCFC consumption and sectoral distribution of such HCFC use was processed across all participating countries. The project teams prepared 8 HCFC survey reports forming integral parts of 8 individual HCFC phase-out strategies formulated for 8 participating partner countries.	<p>Outline and Phase-out strategy documents produced and provided by UNDP for the evaluation corroborate report. UNIDO did not provide any Outline or Phase-out strategy documents on RF to corroborate reported activity. Information provided for Azerbaijan and Kazakhstan shows outline strategy, with some data limitations. Hence the monitoring and evaluation (PIR) report for 1 of the 7 countries is not accurate.</p> <p>ACTIVITY RATING: HS for activities in Group 1 countries. For Group 2 countries: S for activities in Azerbaijan and Kazakhstan and MS for that in RF;</p> <p>M and E Rating: MS (for the above reasons)</p>
8 National Assessments which will be included as a chapter in the respective National Phase-out Strategy document.	National assessments of HCFC consumption profiles were prepared for all 8 participating countries. Trends in HCFC and HFC import and consumption were analyzed, and HCFC consumption growth scenarios along with the control measures were formulated for all countries that formed the basis for formulation of HCFC policy control options.	<p>Outline and Phase-out strategy documents produced and provided by UNDP corroborate report. UNIDO did not provide any Outline or Phase-out strategy documents on RF to corroborate the reported activity. Information provided for Azerbaijan and Kazakhstan does not corroborate performance of the activity as reported in the PIR. The M and E report is not accurate for 3 countries.</p> <p>ACTIVITY RATING: S for activities in Group 1 countries . MS for activities in Azerbaijan and Kazakhstan; No rating for activities in RF;</p> <p>M and E Rating: MS</p>

<p>8 Country-specific analysis which will form a part of the respective National Phase-out Strategy document.</p>	<p>HCFC survey data, and, specifically, its breakdown by individual consuming sectors served its main purpose to determine approaches on how to address (reduce) the consumption of HCFCs. All these sectors will receive technical assistance through GEF under separate additional projects which are currently under formulation by respective IAs (UNIDO and UNDP). The "investment type" of GEF assistance will be structured along the lines of technological conversions in industrial sectors and of capacity building efforts in refrigeration servicing sector. The "non-investment type" of assistance will be based on training of Customs, improvement of HCFC control legislation, regional cooperation of participating countries in UNEP-DTIE's regional and sub-regional workshop on exchanging HCFC phase-out experiences, and assistance with HCFC monitoring and reporting requirements. This task has been accomplished.</p>	<p>Outline and Phase-out strategy documents have been produced by UNDP. A Full-sized Project (FSP) has been prepared and received GEF approval for US \$9 million GEF Trust funding and US \$25 million co-funding. A summary (Powerpoint) presentation was made by the Russian Federation representative at a recent ECA network meeting on activities in RF. A PIF to phase out HCFC in refrigeration and foam sectors has been prepared and received GEF approval for US \$2.5 million GEF Trust funding and US \$3.25 million co-funding for Azerbaijan and only HCFC strategy outline for Kazakhstan. The monitoring and evaluation report is not fully corroborated by activities in 3 countries and therefore not accurate.</p> <p>ACTIVITY RATING: HS for activities in Group 1 countries. . MS for activities in Azerbaijan and Kazakhstan; No rating for activities in RF;</p> <p>M and E Rating: MS</p>
<p>8 Country-specific analysis which will form a part of the respective National Phase-out Strategy document.</p>	<p>A thorough analysis of compliance prospects was implemented during the HCFC data collection process for the participating countries. Relevant recommendations for facilitating the reduction in HCFC imports through initiating advance formulation of HCFC control measures were formulated by the project teams and submitted to respective Governments. Among other measures, and as the HCFC consumption in all countries mostly concentrate in refrigeration servicing sectors, one prominent tool which can be used to limit the import of cheap HCFC-based air-conditioners (which tend to fail more and more frequently after some time of operation and require more charges with HCFC-22) is the gradual quota system on the import of such equipment. This tool has been recommended for implementation to the participating countries as future compliance prospects will be diminished if import of such household equipment will not have been stopped. Finally, one important achievement is the revision of HCFC baseline consumption for Tajikistan (to incorporate previously missing HCFC consumption elements) to allow the Government to increase the baseline (without increasing the future HCFC phase-out funding levels) which will help the country in staying in compliance with the provisions of the Montreal Protocol until the country receives technical assistance from the GEF. Such request was submitted to the Ozone Secretariat, and then to the Implementation Committee on non-compliance issues. The consideration of the case is to take place in August 2011, and then at the next Meeting of Parties to the Montreal Protocol in November 2011.</p>	<p>These analyses, assessments and recommendations are evident in Strategy documents prepared and provided by UNDP. However no such document and/or information has been provided by UNIDO. Neither the PIF for Azerbaijan nor the Strategy Outline for Kazakhstan has these details. The PIF for Azerbaijan indicates that in-depth data survey and phase-out strategy development will be done as part of the FSP. As earlier indicated there was no Outline or Phase-out strategy document for RF.</p> <p>The request for revision of Tajikistan's baseline was approved at 23rd MOP from 6.0 ODP tonnes to 18.7 ODP tonnes (Decision XXIII/28).</p> <p>ACTIVITY RATING: HS for Group 1 country activities; No rating for Group 2 country activities. <i>(Note: No rating assumes that those activities were not considered relevant at that point in time and/or could be accomplished by other means)</i></p> <p>M and E RATING: MS</p>

Elaborated measures addressing regional data exchange, technology transfer, and training requirements	Resulting from HCFC consumption inventory/survey data and national assessments of growth trends as compared to internationally binding obligations for HCFC use reduction in the participating countries, the project teams completed the formulation of national HCFC phase-out strategies with identified subsets investment (technological conversions at foam and solvent industry, at refrigeration manufacturing enterprises; capacity building in refrigeration servicing sectors) and non-investment (improvement of HCFC control measures during import and use; specialized trainings for Customs to better control import of HCFC chemicals; trainings for refrigeration technicians in best HCFC banking practices to lower down atmospheric emissions) projects required to keep countries in compliance with the provisions of the Montreal protocol. The national HCFC strategies have also been prepared in terms of draft legislation which was sent for approval to relevant Government's authorities (Belarus, Uzbekistan, Tajikistan, etc). The task is considered as complete.	Comments and Ratings: The same as for Activity number 5 above.
Region wide measures to facilitate HCFC phase out	Regional measures drafted on the basis of HCFC consumption dynamics regionally (countries covered by UNDP/UNEP) and globally and presented at various regional/sub-regional conferences by UNDP project team (at least 3 times during 2009)	Comments and Ratings: The same as for Activity number 5 above.

113. As mentioned earlier no HCFC strategy outline document was submitted by UNIDO on behalf of the Russian Federation for the evaluation. The strategy outline documents presented for Azerbaijan and Kazakhstan were provided late in the evaluation process and in the original Russian language. In spite of that the Evaluator made every effort to review the documents as presented and seek additional sources of information, the two documents: "Stepwise programme for the phase out of Ozone Depleting Substances (Hydrochlorofluorocarbons) in the Republic of Kazakhstan" and "National study and preparation of national strategy plan for step-wise phase-out of HCFCs in the consuming sectors in Azerbaijan" appear to serve as a finished programmes or strategy for the two countries for phasing out their HCFC consumption.

114. Based on the review of documents provided for the evaluation UNDP as the coordinating agency sought to report on progress of implementation of the MSP project. While the original goal of the MSP was to prepare Outlines of HCFC strategies, UNDP's approach to the implementation of the project resulted in "full-fledged action plans aimed at gradual reduction of HCFC consumption in the countries". Based on the information made available for the evaluation, UNIDO's approach was more focused on strategy outlines (where received by the evaluator) and follow-up capacity building/investment PIFs for partner countries as described previously in Box # 2. Nevertheless the monitoring and evaluation report in the annual reports APR/PIR showed what appeared to be a homogeneous approach in the five UNDP partner countries as well as in the 3 partner UNIDO countries. Hence the information provided to the monitoring and evaluation process on those three countries, for most part, was deemed not to be a true reflection of the activities in those countries.

115. UNDP's coordinating responsibility was a perceived rather than a real one. Probably if there had been a properly funded Manager or management unit for the regional MSP with dedicated monitoring and evaluation responsibilities and time and resources to follow up on agency and country responses inaccuracies could have been reduced. With a dedicated project Manager/management unit copies of documents such as are described in the PIR would be lodged with the manager or unit and access to them would be much easier than was experienced by the Evaluator in this case.

116. HCFC strategies and outlines, being direct output of the programme, can be transferred to the GEF Secretariat by each lead agency as needed and through appropriate channels.

3.3. Project Results

117. The following indicators and activities require rating:

- Overall results (attainment of objectives)
 - Relevance
 - Effectiveness and efficiency
 - Sustainability
 - Monitoring and evaluation: design at entry and implementation
 - UNDP and Implementing Partner implementation/execution coordination, and operational issues.
- In addition “impact” was also rated.

118. In order to carry out the ratings a comprehensive Evaluation Question matrix was constructed based on the Evaluation Questions provided with the TOR and the Project Log Frame. A copy of the Evaluation Question Matrix is attached a Annex 5. In order to facilitate better response specific questionnaires filtered from the Evaluation Question matrix were sent to relevant representatives of the partner implementing agencies (UNEP, UNIDO and World Bank and UNDP itself) and the agency experts who could be contacted. In addition discussions/interviews were conducted with them by telephone or by Skype.

119. The rating scales used are shown in the Box number 3 below.

120. Table 9 provides the results of the rating. It was found necessary to break down the results by component activity, country and implementing agency, since performance by country and by implementing agency could differ from one to another.

BOX #3		
RATING SCALES		
<i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution:</i>	<i>Sustainability ratings:</i>	<i>Relevance ratings:</i>
6: Highly Satisfactory (HS): no shortcomings	4: Likely (L): negligible risks to sustainability	2: Relevant (R)
5: Satisfactory (S): minor shortcomings	3: Moderately Likely (ML): moderate risks	1: Not relevant (NR)
4: Moderately Satisfactory (MS): significant shortcomings	2: Moderately Unlikely (MU): significant risks	<i>Impact Ratings:</i>
3: Moderately Unsatisfactory (MU): significant shortcomings	1: Unlikely (U): severe risks	3: Significant (S)
2: Unsatisfactory (U): major problems		2: Minimal (M)
1: Highly Unsatisfactory (HU): severe problems		1: Negligible (N)

3.3 (h) Overall results (attainment of objectives)

121. This activity rating was considered in two parts, namely:

- Immediate objective, i.e. collection of data and the preparation of the HCFC Strategy Outline, as originally designed.
- Long-term objective, i.e. activities undertaken subsequently to effect HCFC phase-out, since for both agencies that is what actually happened.

**Table 9: RMSP: Preparing for HCFC Phase out in the CEITs
Project Results and Rating**

Agency	Beneficiary	Overall Results		Relevance	Effectiveness and Efficiency	Impact	Sustainability	M and E	IA coordination	Art. 7 Data Reporting
		Immediate Objective	Long-term Objective							
Component A: Preparing HCFC Phase-out Strategy Outline										
UNDP	Belarus	S	HS	R	S	S	L	S		HS
	Bulgaria	S	Not applicable	R	HS	S	L	S		HS
	Tajikistan	S	HS	R	HS	S	L	S		HS
	Ukraine	MS	MS	R	MS	S	L	S		HS
	Uzbekistan	S	HS	R	S	S	L	S		HS
UNIDO	Azerbaijan	S	S	R	S	S	L	MS		HS
	Kazakhstan	S	N/A	R	MS	M	L	MS		HS
	Russian Federation	MS	S	R	MS	MS	L	N/A		HS
UNDP/UNIDO	Overall Regional Comp. A Activity (A2 CEITs)	MS	S	R	S	S	L	MS	U	HS
Component B: Global dimensions of HCFC phase-out										
World Bank	All countries (Region)	N/A	N/A	N/A	N/A	N/A	N/A	MS	N/A	N/A
Component C: Synergies with other MEAs										
UNEP	All countries (Region)	N/A	N/A	R	N/A	N/A	N/A	MS	N/A	N/A

(iii) Immediate Objectives (Preparation of Outline Strategy)

122. This activity was rated successful in all the countries except in Ukraine and Russian Federation. For Ukraine it was rated moderately successful (MS) as data collected was still not complete and additional work was expected to be undertaken to complete the preparation of the strategy. In the Russian Federation, in spite of lack of information on the strategy outline, on the basis of information from other sources, the activity was also rated as moderately satisfactory (MS). It has to be emphasized that in view of the potential scope of HCFC phase out activities, in both production and consumption, a phase-out strategy document is an absolute requirement for the country in order to ensure efficient, consistent and environmentally sound HCFC phase out.

(iv) Long-term objective (preparation of subsequent programmes for HCFC phase out)

123. This activity was rated highly satisfactory (HS) for Belarus, Tajikistan and Uzbekistan. These participating countries and their agency followed up the preparation of the outline with a “full fledged” phase-out strategy and FSP while retaining a regional structure. There has been evidence, including media reports (e.g. Uzbekistan’s enactment of new legislation incorporating elements of the strategies) and presentations made at the recent Regional Network for ECA meeting. Similar activity was rated moderately satisfactory for Ukraine where there is still need for work on the strategy. It was rated satisfactory (S) for Azerbaijan where a PIF has been prepared as a follow-up and approved in 2012, while it was not rated for Kazakhstan as there was insufficient information or report of follow-up activity. During the review of this report by the IAs, UNIDO informed the Evaluator that “the PIF draft document for Kazakhstan is also under preparation”. For the Russian Federation, again based on information from sources, including the GEF website, presentations at a recent ozone officers regional network meeting for the ECA region by the current Executive Director, Projects on ODS Production and Consumption Phase-out, Centre for Preparation and Implementation of International Projects on Technical Assistance it was rated satisfactory

3.3 (i) Relevance

124. Rating for all countries was relevant (R). The activity was considered the primary requirement for realizing the objectives of the countries of phasing out HCFCs and thereby fulfilling their international obligations.

3.3 (j) Effectiveness and Efficiency

125. The component activities were rated highly satisfactory for Bulgaria and Tajikistan. In Tajikistan, beside reported high level of local institutional and stakeholder participation, the project outputs were effectively used to redress the anomalous situation of the country with regard to its HCFC consumption and baseline and their potential adverse impact on its compliance with the Montreal Protocol. Bulgaria made very effective use of the outcomes to enhance its environmental credentials essential for membership of the EU. For three other countries (Belarus, Uzbekistan and Azerbaijan it was rated satisfactory while for Ukraine it was rated moderately satisfactory, mainly for inefficiencies in the project delivery and relatively weak and inconsistent institutional support. The activity in the Russian Federation was rated moderately satisfactory for effectiveness and efficiency based on information obtained from international sources regarding progress of the project’s implementation.

3.3 (k) Sustainability

126. This indicator was rated as likely (L), i.e. negligible risk to sustainability, in all the countries. The fact that most of the countries have in place and getting strengthened institutional structures previously set up with GEF support, have formally adopted phase-out strategies and incorporated them into existing or new laws, have obtained support form GEF Trust Fund leveraged by private and government co-funding assures have increased national ownership of the projects and enhanced their sustainability.

3.3 (l) Article 7 Data Reporting

127. Annual reporting of data to the Ozone Secretariat in line with Article 7 of the Montreal Protocol is one of the key indicators of GEF 4. The review of the data reported which in several cases were much higher than earlier reported before the project’s implementation had been attributed to the activities that had assisted the countries to identify all relevant sources of consumption.

3.3 (m) Impact

128. This indicator was rated significant (**S**) for all the countries, except Kazakhstan and Russian Federation. The activity has enhanced the ability of the countries to report their data and to have their status assessed for compliance or non-compliance. It has resulted in significant investment in HCFC phase-out and strengthened regulatory capacity. It was rated marginal (**M**) for Kazakhstan. Although it has ratified the Copenhagen Amendment in the course of project implementation, Kazakhstan is yet to apply the outline strategy to actual phase-out project according to information received. There was no information indicating what impact the activity has had on national regulations. No rating was given to the activity in the Russian Federation for lack of relevant information.

3.3 (n) Monitoring and Evaluation

129. Please see Table 8 above. Overall monitoring and evaluation was rated as moderately satisfactory (**MS**).

3.3 (o) Implementing Partner implementation/execution coordination

130. In this regard the rating concerns implementing partner at the level of implementing agencies rather than between implementing agency and national executing agency. The rating assigned to this indicator was unsatisfactory (**U**).

131. Feedback from interviews showed that there were initial interagency discussions; implementation nevertheless had the tendency to turn individual due to individual mandates with participating countries. The original project objective was to conduct surveys and prepare outline strategy. This presupposed a second phase, but there was no agreed plan for approaching a second phase of the development of the strategy and its aftermath. Thus for both UNDP and UNIDO the data collection and/or the outline strategy cascaded into phase-out strategies and subsequent PIFs/FSPs or to PIFs and subsequent FSPs/phase-out strategies as illustrated in Box number 2. There was very little substantive or regular interaction horizontally among functionaries (including consultants) of the two joint lead agencies for the Component A sub-project. Although in the early stages efforts were made to promote such interaction these efforts appear not to have been sustained. However, the ECA Network meetings became very useful forum for information sharing on the project. Several presentations have been made at these meetings in 2011, 2012 and 2013 by representatives of UNDP, Russian Federation and other countries.

132. According to the project proposal for the MSP, UNDP and UNIDO in cooperation with UNEP would first collect existing data from the participating countries (“desk studies”), carry out surveys using international and local consultants from which phase out strategies would be prepared for each country, recognizing regional trends and synergies. UNDP/UNIDO would focus on the investment projects requirements along with technical capacity development initiatives within the strategy, while UNEP would focus on “non-investment needs as well as coordinating the overall strategy-outline for each country and elaboration of regional facilitating initiatives”. In this regard, an important activity in the proposal was “identification and elaboration of measures that may be undertaken at the regional level that would serve to link and facilitate phase out efforts in countries in the region (including Article 5 countries in the region) including:

- Creation of an effective information exchange network for data on the trade of HCFC and other chemicals including HFCs with particular emphasis on validation of import and export transactions between countries in the region and elsewhere.
- Development of a regional scientific and technical expertise network that will facilitate the exchange of information, experience and expertise related to HCFC alternatives.
- Identification of regional training and technology transfer opportunities”.

133. This project appeared to draw on experiences from successful collaboration between UNEP and UNDP similar manner collecting data, and designing and executing MB phase out in pre- and post-harvest applications in CEITs. However, in terms of funding, UNEP was generally allocated 50% of the funds allocated to UNDP and UNIDO for each country, which in countries like Azerbaijan and Tajikistan amounted to only US \$12,500, to assist the two agencies in the country level activities. The proposed implementation modality in this instance did not work out and UNEP had to transfer its share of the country-level funds to UNDP and UNIDO, for them to solely carry out the country level activities thus contributing to the fragmentation of the regional implementation modality on the one hand and losing UNEP's comparative advantage in networking on the other.

134. In order to have had optimal advantage of UNEP's participation, its data gathering capabilities notwithstanding, and given the funding shortage for this complex project, it should not have been involved in the initial data collection by the other two agencies, as its role appears to have been interpreted, but rather focused on post-collection activities. UNEP's participation would have added value at the subsequent stage of preparing the HCFC phase-out strategy outlines/strategies, where data were already available and UNEP could play its unique role of mobilizing and networking the participating countries to enhance institutional capacity and achieve the objective of "facilitating the elaboration of regional facilitating initiatives". This could have obviated the situation where, as there was no second phase, the strategy outlines evolved into full sized projects "owned" solely by the two agencies dealing with investment projects and technical capacity development initiatives within the strategy with the resulting breakdown of the region-wide approach.

3.3 (p) Overall Project Rating

135. Overall the two implementing agencies UNDP and UNIDO have assisted six countries – Azerbaijan, Belarus, Russia, Tajikistan, Ukraine and Uzbekistan to mobilize about US \$30 million in GEF funding and over US \$85 million in co-funding to phase out their HCFC consumption and meet their accelerated phase out obligations.

136. However, Component A, the *raison d'être* of the regional MSP was designed to be jointly implemented by UNDP and UNIDO as probably a model for regional projects but the regional implementation modality collapsed, although UNDP continued to implement its sub-component as a group or regional project with a high degree of success. Uzbekistan and Tajikistan have each expressed a very high level of cooperation signifying the importance of contiguity and probably similarity in socio-economic characteristics. The collapse of the regional implementation modality is the most significant failure of the project.

137. For the reasons provided by the agencies (the World Bank and UNEP) cancellations of Components B and C by the World Bank and UNEP respectively were avoidable. Although implementation of the two components could have added value to the results of the project the impact of the cancellations was minimal, since the strategies and the full-sized projects have significantly taken account of some of the issues that would have been addressed by the two components, such as impact of HCFC phase-out activities on climate or the impact of regional and global trade of second hand and cheap HCFC-based air conditioners on the successful implementation of the phase-out strategies adopted.

138. Consequently the overall project achievement, i.e. when all three components of the MSP are taken into account, was rated as **MS** (moderately satisfactory).

4. Conclusions, Recommendations and Lessons Learned

4.1. Conclusions

139. These conclusions will expatiate on the results and where necessary make comments or provide corrective actions for the design, implementation, monitoring and evaluation of the project. Where appropriate proposals for future directions or follow up actions will be made.

140. The GEF/UNDP/UNEP/UNIDO/WB medium sized project: Preparing for HCFC phase-out in CEITs: needs, benefits and potential synergies with other chemicals MEAs had the primary objective of carrying out HCFC consumption and production data surveys and on the basis of that data prepare HCFC phase out strategy Outlines within a regional framework for the countries involved, essentially Azerbaijan, Belarus, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan. At the same time the data collection exercise was to enable or to reinforce the capabilities of the countries to report data to meet their data reporting obligations as Parties to the Montreal Protocol. The data reporting objective has been achieved for all the countries. The original objective of preparing outlines was expanded by the joint lead implementing agencies in different ways. UNDP's activities resulted in phase out strategies with in full-fledged action plans aimed at gradual reductions in HCFC consumption in Belarus, Tajikistan, Ukraine and Uzbekistan. UNIDO's activities, based on the information provided for the evaluation resulted in a strategy with action plan for Kazakhstan and essentially strategy outline used as a basis for developing a phase out investment project for Azerbaijan. The impact of these expanded objectives on the participating countries is as described in Section 3.3 (i) above.

141. UNDP reported that the strategies were submitted to the responsible Governments for approval, and were already transformed into draft regulatory measures in several of the participating countries (Belarus, Uzbekistan, Tajikistan). Good grounds for moving into a phase of preparing several packages of technical assistance to backstop the implementation of the formulated HCFC strategies have been established. Thus the strategy development work is complete for the three participating countries, leaving Ukraine that has additional work to be done to complete its strategy. In view of data limitation from UNIDO no such general conclusion could be reached regarding its expanded objective for its three participating countries (Azerbaijan, Kazakhstan, Russian Federation). However, at the time of completion of this report the Federal Law reported to have received Presidential assent in the Russian Federation on 23 July 2013 testified to significant achievements made by the country through the development of a national strategy for HCFC phase out addressed through a national rather than a regional project, an approach the Russian Federation considered more feasible and effective.

142. The partial or complete achievements of the expanded objectives above notwithstanding there is need to examine other aspects of the project's implementation as successful implementation could have provided a model for the future, particularly the wider Multilateral Fund assistance for Article 5 countries. These included the regional aspects of the project, involvement of multiple implementing agencies and linkage of the data survey/strategy outline to other studies of wider implications. In these aspects, however, the project's implementation did not live up to expectations.

143. The regional aspect of the project got fragmented. This was partly because in terms of HCFC consumption and potential needs and interests Russian Federation with 85% of the HCFC consumption was not compatible with most of the countries in the region in terms of technical and institutional needs and priorities and could not fit into a regional mould without impacting the rate of project implementation. Two agencies acting as joint implementing agencies for the principal component of the project without clearly defined responsibilities by subject and by country and without an autonomous management or coordinating unit also contributed to the fragmentation of the regional modality.

144. The project was conceived as an initial preparatory phase that presupposed subsequent phases, including investment phase. However there was no indication from GEFSec or discussions among the IAs regarding its implementation going forward to subsequent phases. In particular, how the phase out of HCFCs in the Russian Federation, both from the production and consumption sectors would be

approached to ensure that the Russian Federation benefited from the comparative strengths of the IAs involved in order to ensure efficient and expeditious phase out process in light of Decision XIX/6. It is evident from the letter from the Russian Ministry of Natural Resources⁵ to both UNDP and UNIDO (Annexes 4.5-1 and 4.5-2) that Government wished to have advice on this issue. Therefore, it may be argued that without a demand for strict discipline and accountability from the IAs involved with respect to the original goals of the project the objective evolved into the development of investment projects as agencies made effort to consolidate their work in the countries in which they had carried out the data surveys and needs assessments.

145. Another observation that could be made from hindsight is that, UNEP did not need to have a role in the national data collection phase because of the shortage of funds, and should not ordinarily have been allocated funds for that or national level activity at that time as the other agencies since such funding, in the scheme of things, would have been then premature. For UNEP to have been involved in the data collection with UNDP and UNIDO at the same time would not only have been a duplication of effort but not an optimal use of resources given the limited financial resources available to the project. UNEP's involvement belonged to the latter stages of the project's funding and implementation if the project had followed a step-wise approach, as was probably intended given the funding replenishment system. However, if it was administratively expedient to fund UNEP's activities at the initial stage as the other agencies it was necessary to clearly circumscribe, and for all the three agencies to have a clear understanding of, its "assisting" role. Under the circumstances UNEP had to transfer its allocation for implementing Component A of the MSP to UNDP for its participating countries which was not used and was transferred back to UNEP while its transfers to UNIDO, though used by UNIDO, incurred delays due to the administrative procedures involved and might not have fully achieved the desired results.

146. Thus, it would appear from hindsight that, for more effective use of the resources the funds that were allocated to UNEP for country level activities should have actually been allocated to the two lead agencies in the first place; then when the project had gone to the next stage of formulating the strategies and the follow-up FSPs UNEP should have been adequately funded to effectively participate in the non-investment and networking components both at the national and regional levels based on data fed to it by the other two agencies. Implementation of Component A of the project evolved in a different direction and in the end UNEP's part of that component's project funds became unutilized or ineffectively utilized due to late transfers while its more important coordinating and networking facilitating expertise became lost to the project's beneficiaries, both in its development and eventual implementation.

147. The late addition of a fourth implementing agency into the project's implementation framework without any significant changes to the project design or a clear direction from GEFSec or discussion and agreement among the agencies, contributed to the less than optimal state of the project's implementation as a regional programme. A discussion, such as proposed by the Russian Federation, particularly between the two agencies responsible for the survey and subsequent phase-out activities, referred to earlier (Annexes 4.5-1 and 4.5-2), could have improved the level of cooperation and efficiency of the project's implementation.

148. Though they may not seem significant changes in Government endorsements whereby a country or countries change from one implementing agency to another in the course of project implementation when two or more implementing agencies are involved could affect the rate of project implementation. As in the case when Kazakhstan decided to change from UNDP to UNIDO, funds have to be transferred, from one agency to another, sometimes in a cumbersome manner and schedules of experts and other project plans have to be revised causing delays not only to the country's activities but to the overall programme. This probably explains why Kazakhstan's activities are at the strategy stage. Beside transfer from one

⁵ Letter from Mr. I.I. Maidanov, GEF National OFP, Ministry of Natural Resources to Mr. Marco Borsotti, UNDP Resident Representative and UN Resident Coordinator in the Russian Federation dated 17 July 2007.

agency to another, another factor affecting implementation at the national level was lack of stability in the counterpart national institutions. In some countries this problem seems likely to be addressed through the proposed strategies and funding of subsequent phase out projects.

149. The link of two other studies of macroeconomic nature to the data survey project did not have much relevance to most of the countries given that their levels of HCFC consumption as LVCs or even VLVCs did not make them good candidates for such studies. In fact, the projects that were developed took account of climate impact of the technological choices without the results of the study.

150. Given the circumstances of the region (territorially, communication problems, etc.) it would have been much more appropriate to undertake the studies based on a limited sample of two or three countries. Alternatively they could have been undertaken independently based on available information from Article 2 countries which already had experience in the phase-out and also from technical sources within the Montreal Protocol system and other relevant MEAs with the result being applied to the CEITs instead of the other way round. The choice of the Europe and Central Asia region with such disparate levels of HCFC consumption and complex geopolitical structure for the study was inopportune and might have contributed to the failure of those components of the project rather than the reasons given by the agencies for cancelling them. In any case, it appears that a more appropriate stage to have linked the two studies with the project should have been after the data collection and analysis stage.

151. With regard to the monitoring and evaluation PIR/APR the analysis of the process and outcomes and discussions held showed that monitoring of the project was less than structured, and less demanding of the respondent IAs. Responses were not required to be backed up by either written summaries or copies of reports of progress achieved by the agencies reporting. Thus at time of evaluation or need for any reason when an agency was not able to provide a given documentation there was no other source of information to back up.

152. Taken as a whole it may be concluded that the project achieved mixed results.

153. IAs have long history of cooperation and coordination among themselves and the use of memoranda of understanding for such purposes has not been practiced regularly. However, in a complex situation not only in the number of agencies involved but also the variety of activities, countries and sub-regions recourse to the use of a memorandum of understanding among the agencies either severally or bilaterally would have improved efficiency of project delivery. It would also have clarified to the participating countries and stakeholders the nature of the project and modalities of its implementation as well as expectations from partner agencies.

154. The Europe and Central Asia Ozone Officers Network of UNEP DTIE (ECA Network) provides a forum for region-wide interaction among the countries as the two groups of countries participating with UNDP and with UNIDO tend to be more inward looking. Ozone officers or focal points of all the countries attended the recent ECA Network meeting supported through their projects by the respective implementing agencies. It may be worth exploring with UNEP OzonAction Programme possible modalities for offering additional support to the countries, for instance in the form of dedicated meetings of the group.

4.2. Lessons Learned

155. The following are lessons learned from the implementation of the project based on the review of the documents and interviews with the persons involved in the design and implementation.

1. One of the main lessons cited by agency representatives and experts with whom the evaluator interacted was that regional implementation modalities involving more than two implementing agencies and large number of countries could be cumbersome in their implementation and should be minimized or avoided in future.
2. In order to make implementation manageable in a regional approach consideration should be given to limiting the number of countries and taking account of importance of proximity and contiguity of participating countries. For instance, the principle underlying the need for countries very far apart geographically, such as, for example Belarus and Tajikistan with a distance of over 4,500 km between their capitals to be in a regional project was questioned by one agency.
3. Absence of a funded project manager could invariably affect efficient and successful implementation of a regional or multi-agency project. Therefore, where funds are not available to provide a manager or a management/coordinating unit regional approach involving two or more agencies should be avoided.
4. The regional principles were not clearly defined from the beginning or concept development stage, particularly following addition of another implementing agency which had not been involved in the previous interagency collaborations for CFC phase-out in the region; while in some important cases where responsibilities or roles had been defined in the project proposals these were not followed through. A formal memorandum of understanding between the agencies on such matters could have redressed the situation.
5. Very high volume ODS consuming countries (VHVC) with predominantly manufacturing/exporting ODS industrial infrastructure (e.g. the Russian Federation, baseline HCFC consumption: 3,996.9 ODP tonnes) and very low volume ODS consuming countries (VLVC), with principally refrigeration servicing industrial infrastructure (e.g. Azerbaijan or Tajikistan, baseline HCFC consumption: 14.9 ODP tonnes and 18.7 ODP tonnes respectively) are generally not good candidates for regional or multinational/group implementation modality due to their vastly dissimilar socio-economic interests and needs. Unless dictated by special relationships such as membership in regional customs union, such modality may not add value to the implementation process and may be avoided.
6. In situations where a regional, multi-agency approach could offer good value and is pursued the success of such approach could be enhanced if certain conditions were put in place. They include the following:
 - Clear definition or demarcation of responsibilities of the agencies involved based on sound judgement agreed by the agencies;
 - The agreed implementation modalities should be supported by a memorandum of understanding among the participating agencies to ensure that defined roles in the project proposals are followed to the extent possible;
 - A separately and adequately funded project manager or management unit operating with some degree of autonomy is established within one of the agencies.
7. In order to maintain smooth implementation in the interest of the project implementing agencies as well as the countries involved, “agency hopping” during project implementation should be discouraged by GEF and other funding agencies.
8. Frequent changes in institutional structures, personnel and responsibilities for Montreal Protocol issues constrain effective implementation of projects generally and beneficiary or prospective beneficiary countries of GEF Funds must be made aware and such practices discouraged.
9. As the cascading effect of the implementation of the project has shown, preparation of strategies where data collection is involved must be approached holistically, such as in the case of the preparation of hydrochlorofluorocarbon management plans (HPMPs) under the Multilateral Fund in order to be able to consider fully all the necessary stakeholders and all elements that could result in effective and properly coordinated implementation whether at a national or multi-national level under responsibility of a single agency or multiple agencies.

10. Two implementing agencies were responsible for dealing with investment projects and technical capacity development initiatives under the regional MSP (Component A of the project). Although applying to some extent their own in-house procedures they were expected to achieve similar objectives in the participating countries within similar time frame. However, as Table 8: Monitoring Progress towards Meeting Development Objectives as at June 30, 2011 shows, without an autonomous, properly funded management or coordinating unit it is not feasible to monitor actual progress in the achievement of the objectives and as necessary provoke remedial measures.
11. One agency reported that the regional and multi-Agency character of the project combined with very limited budget made the data surveys and related field work a challenging exercise. In the process the following have been some of the lessons learned:
 - It has been rather difficult to sequence travel to all countries in any given work planning period due to varying work schedules of National Ozone Offices;
 - The travel expenses (pre-invested by UNDP and UNIDO) have generally been on a high-side due to geographic locations, long distances between capitals and issues with direct flights from one country to another;
 - Limited project budgets did not allow for provision of sufficient technical assistance to participating countries due to higher travel costs for technical consultants assigned to the work – and some supplementary assistance had to be provided with the help of PPG resources available from HCFC phase-out preparatory projects;
 - Frequent political changes with often resulting weak and/or unstable institutional capacities in countries could result in delaying project activities as it has been experienced by the current project in Ukraine, delaying completion of HCFC surveys in the country and formulation and submission to the GEF of a regional follow-up HCFC phase-out investment projects. Thus in multinational projects intractable problems in one country could unduly delay implementation of in others.
12. Data collection activities move at different pace in different countries that does not allow for harmonization of approaches for other cooperating agencies whose outcomes depend on outputs from these activities.
13. Limited budgets do not allow for appropriate MTE/TE exercises to appropriately report on lessons learned and such costs should be carefully planned in future; however, it is recognized that limitation of funds from the funding mechanism - GEF - might play a role in the actual budget size as it had been the case with formulation of this programme at the end of GEF-4 cycle.
14. Another agency summarized lessons learned from the project as follows:
 - There should be a realistic discussion of resource needs, and agreement between agencies, countries and donors that levels of funding provided are realistic. Sometimes it is better to not start an activity if resources are unrealistic.
 - In setting resource allocations, the experience of agencies and experts on the ground should not be discounted by the donor.
 - Projects should not be re-configured by the donor without careful consideration of the impacts on agency coordination and country-agency relations.
 - Two to three agencies per project should be the limit for any project. Smaller projects (as this one was an MSP) should not have more than 2 agencies, with clear delimitation of comparative advantage (to prevent “turf” issues).

4.3. Recommendations

156. The following recommendations are made for the consideration of the GEF.

1. The GEF Secretariat may wish to request the two lead agencies for Component A of the project (UNDP and UNIDO) to submit to the Secretariat the strategy outline documents prepared by all

the participating countries, including Bulgaria as a way of ensuring that the information is made accessible to stakeholders who may need it. ,

2. Given the status of ODS phase-out globally and in the CEITs in particular the need for a similar regional ODS phase out project in future may not arise. However should the need for endorsing a similar regional project proposals arise in future the GEF Secretariat in its consideration of such project proposals, may wish to take into account the lessons learned in connection with the development and implementation of this medium scale regional project, including issues relating to involvement of multiple agencies, the potential need for formal joint implementation agreements/arrangements, the effect of national ODS consumption and socio-economic disparities, limitations imposed by geographical locations of countries involved and the need for adequately funded autonomous management/monitoring unit.
3. As UNEP's Europe and Central Asia Regional Network of Ozone officers remains a key forum for exchange of information and expertise among the Article 2 CEITs financial support to these countries for participating in the activities of the network should be continued throughout the lifetime of the HCFC phase out projects as a means of sustaining capacity building resulting from these projects.
4. The GEF Secretariat and the implementing agencies (UNDP, UNEP, and UNIDO) may wish to work out possible modalities for joint support of the ECA network with the Multilateral Fund to enable the administrative resources of the network to be made available to the Article 2 CEITs for organizing activities dedicated to the needs of these countries.

5. Annexes

Annex 1: Terms of reference

Annex 2: Schedule of interviews

Annex 3: List of documents consulted or reviewed

Annex 4: Letters of endorsements of the project from Governments:

Annex 4.1: Letter of Endorsement - Government of Azerbaijan

Annex 4.2: Letter of Endorsement - Government of Belarus

Annex 4.3: Letter of Endorsement - Government of Bulgaria

Annex 4.4: Letter of Endorsement - Government of Kazakhstan

Annex 4.5-1: Government of the Russian Federation – Initial Letter of Participation in Regional MSP to UNDP

Annex 4.5-2: Government of the Russian Federation – Initial Letter of Participation in Regional MSP to UNDP (English Translation)

Annex 4.5-3: Government of the Russian Federation – Letter of Endorsement to UNDP/UNIDO

Annex 4.5-4: Government of the Russian Federation – Letter of Endorsement for FSP 3541

Annex 4.6: Letter of Endorsement - Government of Tajikistan

Annex 4.7-1: Letter of Endorsement - Government of Ukraine (in Ukrainian)

Annex 4.7-2: Letter of Endorsement - Government of Ukraine (in English)

Annex 4.8: Letter of Endorsement - Government of Uzbekistan

Annex 5: Evaluation Question Matrix

Annex 6: Questionnaires used and summary of responses:

Annex 6.1: Responses from UNDP

Annex 6.2: Responses from UNEP

Annex 7: Comments by the Implementing Agencies and responses of the Evaluation Consultant:

Annex 7.1: Comments and responses: UNEP

Annex 7.2: Comments and responses: UNIDO

Annex 8: Evaluation Consultant Agreement

Annex 1

TERMS OF REFERENCE

**International Consultant for Independent Terminal Evaluation of the
GEF/UNDP/UNEP/UNIDO/WB MSP project: “Preparing for HCFC phase out in CEITs: needs,
benefits and potential synergies with other MEAs”
(Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and
Uzbekistan)**

Type of Contract: IC (Consultant)
Languages Required: English
Duration: estimated February – April 2013 (not exceeding 20 working days)
Location: home based (no travel required)
Application Deadline: 31 January 2013

Please note that UNDP is not in the position to accept incomplete applications - please make sure that your application contains all details as specified below in this notice.

1. BACKGROUND

In accordance with UNDP/GEF M&E policies and procedures, all full and medium-sized UNDP supported and GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. This terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the **GEF/UNDP/UNEP/UNIDO/WB MSP** project entitled “Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs” (PIMS 3597).

The project’s primary goal was to develop outlines of country strategies for HCFC phase out based on in-depth surveys of HCFC consumption and where applicable production, in eligible non Article 5 countries with economies in transition (CEITs) in Europe and Central Asia (specifically Belarus, Bulgaria, Kazakhstan, Tajikistan, Uzbekistan, Kazakhstan, Azerbaijan, Russian Federation and Ukraine), and to identify needs for further activities to assist these countries to remain in or attain compliance with their Montreal Protocol obligations, particularly noting the accelerated HCFC phase out requirements adopted by the 19th Meeting of Parties to the Montreal Protocol.

Main partners of the programme are National Ozone Offices in each respective country established in line Ministries of Environment. The programme has been implemented by the listed Implementing Agencies, and, in UNDP related activities, by BRC-Slovakia and UNDP Country Offices.

Project Summary Table

Project Title:	Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs			
GEF Project ID:	2331		<i>at endorsement (Million US\$)</i>	<i>at completion (Million US\$)</i>
UNDP Project ID:	3597	GEF financing:	0.745	0.745
Country:	Regional	IA/EA own:	0.460	0.110
Region:	Europe/CIS	Government:	0.075	
Focal Area:	GEF-Ozone	Other:		
FA Objectives, (OP/SP):	ODS-SP1	Total co-financing:	0.535	0.110
Executing Agency:	UNDP/UNIDO/UNEP/WB	Total Project Cost:	1.280	0.855
Other Partners involved:	NOUs	ProDoc Signature (date project began):		15/09/2008
		(Operational) Closing Date:	Proposed: 31/12/2009	Actual: 31/12/2011

This Final Evaluation is initiated by UNDP Bratislava Regional Centre as the GEF Implementing Agency for this project and it aims to provide a general assessment of this regional multi-partner project and a strategy for replicating the results. It also provides the basis for learning and accountability for implementing partners and agencies, GEF and stakeholders.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming. The terminal evaluation is intended to generally assess the relevance, performance and success of the project, covering potential impact and sustainability of results, including the contribution to capacity development and the achievement of global and national environmental goals. Important lessons learned will be documented with a short list of essential recommendations that project partners and stakeholders might use to improve the design and implementation of other related projects and programs in future.

The terminal evaluation is to be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects
<http://web.undp.org/evaluation/documents/guidance/GEF/UNDP-GEF-TE-Guide.pdf>.

2. DESCRIPTION OF RESPONSIBILITIES

The scope of the evaluation will cover all activities undertaken in the framework of the project. The evaluators will compare planned outputs of the project to actual outputs and assess the actual results to determine their contribution to the attainment of the project objectives. It will also attempt to evaluate the efficiency of project management, including the delivery of outputs and activities in terms of quality, quantity, timeliness and cost efficiency as well as features related to the process involved in achieving

those outputs and the impacts of the project. The evaluation will also address the underlying causes and issues contribution to targets not adequately achieved.

The key product expected from the terminal evaluation is a comprehensive analytical report in English that should, at least, follow requirements as indicated in [Annex F](#).

The terminal evaluation report will be a stand-alone document that substantiates its recommendations and conclusions. The report will have to provide convincing evidence to support its findings/ratings.

The report together with its annexes shall be presented in electronic form in MS Word format.

The review will take place in consultant's home office, using communication media for interviews and consultation of key project stakeholders. The consultant is expected to follow a participatory and consultative approach ensuring engagement with the project team, project partners and key stakeholders.

The consultant is expected to use interviews as a means of collecting data on the performance and success of the project. Questionnaires prepared by the consultant can be distributed to national project partners, facilitated by participating implementing agencies.

Evaluation approach and method

An overall approach and method⁶ for conducting project terminal evaluations of UNDP supported and GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of **relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR ([Annex C](#)). The evaluator is expected to amend, complete and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular MPU/Chemicals and implementing agencies, GEF OFPs, UNDP Country Offices, project team, UNDP GEF Technical Adviser based in the region and key stakeholders.

The evaluator will review all relevant sources of information, such as the project document, project reports – including Annual APR/PIR, project budget revisions, midterm review, progress reports, GEF focal area tracking tools, project files, national strategic and legal documents, and any other materials that the evaluator considers useful for this evidence-based assessment. A list of documents that the project team will provide to the evaluator for review is included in [Annex B](#) of this Terms of Reference.

Evaluation criteria and ratings

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see [Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability**

⁶ For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163

and impact. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in Annex D.

Evaluation Ratings:			
1. Monitoring and Evaluation	<i>rating</i>	2. IA& EA Execution	<i>rating</i>
M&E design at entry		Quality of UNDP Implementation	
M&E Plan Implementation		Quality of Execution - Executing Agency	
Overall quality of M&E		Overall quality of Implementation / Execution	
3. Assessment of Outcomes	<i>rating</i>	4. Sustainability	<i>rating</i>
Relevance		Financial resources:	
Effectiveness		Socio-political:	
Efficiency		Institutional framework and governance:	
Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

Project finance / co-finance

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures. Variances between planned and actual expenditures will need to be assessed and explained. Results from recent financial audits, as available, should be taken into consideration. The evaluator(s) will receive assistance from the Country Office (CO) and Project Team to obtain financial data in order to complete the co-financing table below, which will be included in the terminal evaluation report.

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Actual	Actual
Grants								
Loans/Concessions								
• In-kind support								
• Other								
Totals								

Mainstreaming

UNDP supported GEF financed projects are key components in UNDP country programming, as well as regional and global programmes. The evaluation will assess the extent to which the project was successfully mainstreamed with other UNDP priorities, including poverty alleviation, improved governance, the prevention and recovery from natural disasters, and gender.

Impact

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts.

Conclusions, recommendations and lessons

The evaluation report must include a chapter providing a set of **conclusions, recommendations and lessons**.

Implementation arrangements

The principal responsibility for managing this evaluation resides with the UNDP BRC. BRC will issue and manage the contract. The Project Team and Country Offices involved will be responsible for liaising with the Evaluators team to set up stakeholder interviews, coordinate with the Government etc.

Although the Consultant should feel free to discuss with the authorities concerned, all matters relevant to its assignment, it is not authorized to make any commitment or statement on behalf of involved GEF implementing agencies such as UNDP, UNEP, UNIDO, and World Bank or GEF or the project management.

The Consultant will be responsible for all personal administrative expenses associated with undertaking this assignment including office accommodation, printing, stationary, telephone and electronic communications, and report copies incurred in this assignment. No travel is expected in this assignment.

Evaluation timeframe

The total duration of the evaluation will be 20 days according to the following plan:

Activity	Timing	Completion Date
Preparation (desk review)	Approximately 4 days	Estimated by February 22, 2013
Phone/skype interviews or e-mail questionnaires	Approximately 4 days	Estimated by March 8, 2013
Draft Evaluation Report	Approximately 6 days	Estimated by March 29, 2013
Final Report	Approximately 6 days	Estimated by April 19, 2013

Evaluation deliverables

The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
Draft Final Report	Full report, (per annexed template) with annexes	Within 3 weeks after completion of review phase	Reviewed by IAs, UNDP RTA
Final Report*	Revised report	Within 1 week of receiving comments on draft	Sent to BRC for uploading to UNDP ERC.

*When submitting the final evaluation report, the evaluator is required also to provide an 'audit trail', detailing how all received comments have (and have not) been addressed in the final evaluation report.

The report shall be submitted to the UNDP RBEC Energy and Environment Team (Mr. Maksim Surkov, address: Grosslingova 35, 811 09 Bratislava, Slovakia, tel.: 00421-2-59337 423, e-mail: maksim.surkov@undp.org)

Evaluator ethics

Evaluation consultant will be held to the highest ethical standards and are required to sign a Code of Conduct (Annex E) upon acceptance of the assignment. UNDP evaluations are conducted in accordance with the principles outlined in the [UNEG 'Ethical Guidelines for Evaluations'](#)

Payment schedule:

%	Milestone
20%	Following submission of the 1st draft terminal evaluation report
80%	Following submission of the final terminal evaluation report

3. COMPETENCIES

- Strong interpersonal skills, communication and diplomatic skills, ability to work in a team
- Ability to plan and organize his/her work, efficient in meeting commitments, observing deadlines and achieving results
- Openness to change and ability to receive/integrate feedback
- Ability to work under pressure and stressful situations
- Strong analytical, reporting and writing abilities
- Keeps abreast of available technology, understands its applicability and limitations, willingness to learn new technology

4. QUALIFICATIONS

The consultant should have prior experience in evaluating projects. Experience with GEF financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

- A. Graduate degree in chemistry, physics, engineering, environmental science or equivalent experience
- B. Significant experience related to the application of ODS substances, their phase out and related global environmental issues including climate change, POPs and chemicals management
- C. Knowledge/understanding of the Montreal Protocol issues
- D. Recent knowledge of the GEF Monitoring and Evaluation Policy
- E. Recent knowledge of UNDP's results-based evaluation policies and procedures
- F. Recent experience in evaluation of international donor driven development projects
- G. Excellent English writing and communication skills
- H. Knowledge of MS Word, Excel and email communication software

5. APPLICATION PROCEDURES

Candidates are requested to submit:

1. Up to two page cover letter explaining why you are the most suitable candidate for the assignment.
2. Financial offer as lump sum.

Incomplete applications will not be considered. Please make sure you have provided all requested materials.

Payment modalities and specifications

*Please note that the **financial proposal is all-inclusive** and shall take into account various expenses incurred by the consultant/contractor during the contract period (e.g. fee, office costs and any other relevant expenses related to the performance of services...).*

Payments will be made only upon confirmation of UNDP on delivering on the contract obligations in a satisfactory manner.

General Terms and conditions as well as other related documents can be found under:
<http://europeandcis.undp.org/home/jobs>

ANNEX A: PROJECT LOGICAL FRAMEWORK

Development Objective	To preserve the Stratospheric Ozone Layer while not contributing to Climate Change			
Overall Project Objective	Development of HCFC phase out strategies for the CEIT region, highlighting cost estimates for HCFC phase out, associated training needs, and potential overlap with the future work and strategic objectives of other GEF Focal areas, in respect of Decision X/16 of the Montreal Protocol.			
LOGFRAME	Intervention logic	Objectively Verifiable Indicators	Sources of verification	Assumptions
Sub-Project Objective(1)	A: To develop National Strategy outlines for phase-out of HCFCs in the participating CEIT countries. (Lead Agency: UNDP/UNIDO, with UNEP assisting)			
Outcomes	National strategy-outlines for CEIT countries that will give guidance on HCFC phase out measures and which will contain specific outlines for requests at the sub-project level for future GEF funding needs.	8 National HCFC phase-out strategies.	National surveys, data collected from the Government authorities, the relevant industrial, institutional, commercial sectors producing, distributing and using HCFC, HFCs and alternatives, and regulatory authorities in the participating countries. Strategy development, consultation and endorsement through integration with applicable Country Programs and legislation.	Availability of local resources and data in the relevant national sectors.

LOGFRAME	Intervention logic	Objectively Verifiable Indicators	Sources of verification	Assumptions
Sub-Project Objective(2)	B: To investigate the global environmental impact of HCFCs phase-out under the Montreal Protocol taking into account the global efforts in reducing GHGs (Lead Agency: WB)			
Outcomes	A better understanding of the global environmental impact of HCFCs, taking into account the contribution of HCFC phase-out to the global effort in reducing emissions of global warming gases.	<p>One comprehensive report on global holistic HCFC phase out scenarios and strategies, comprising :-</p> <ul style="list-style-type: none"> (i) a comprehensive analysis of the scenarios of continued consumption and production of certain HCFCs vs their phase out through various phase-out scenarios; (ii) their aggregated potential GWP and economic costs, and (iii) an exploration of cost effective measures to properly manage by-products of the production of HCFCs and stockpiles of unwanted CFCs. 	Existing TEAP, OS, UNEP documents, as well as on studies on HCFC undertaken by individual Governments, IPCC reports, studies funded through MLF/GEF, etc. Additional activities in non-CEIT countries may be undertaken to obtain market information. There will, however, not be detailed survey work at the National Level funded for this component and care will be taken to avoid overlap with on-going MLF funded country studies.	Complete and up-to-date information contained within source materials, which can be complemented with the more specific regional/national data gathered under the UNDP component.
Sub-Project Objective(3)	C: To examine possibilities for synergies with other chemicals MEAs (Lead Agency: UNEP)			

LOGFRAME	Intervention logic	Objectively Verifiable Indicators	Sources of verification	Assumptions
Outcomes	Better understanding of possibilities for synergies for control and phase out of HCFCs; Better understanding of needs for capacity building,	Possible options and recommendations for related non-investment work identified	Report on the handling of priorities of the MEAs globally, as well as legislative/regulatory controls at the national/regional level across countries. Survey results, MEA Secretariats, countries, regional OzonAction Teams Workshop report(s), MEA and GEF Secretariats, countries, regional OzonAction Teams, other IAs working in the countries.	Full access to relevant authorities in countries.

ANNEX B: LIST OF DOCUMENTS TO BE REVIEWED BY THE EVALUATORS

- GEF: Monitoring and Evaluation Policy
- GEF, GEF-IV and V Focal Area Strategies
- GEF, MSP: Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs
- UNDP: Mission reports of senior international expert
- GEF/UNDP: Outlines of HCFC phase-out strategies prepared and other relevant documentation
- GEF/UNDP: Annual PIRs as formulated and submitted to GEF
- UNEP, Ozone Secretariat: Decisions of Implementation Committee and MOP
- UNEP, Ozone Secretariat: Communication exchanges between Parties and Ozone Secretariat
- UNEP, Ozone Secretariat: HCFC consumption database
- Financial reports
- Others as required

ANNEX C: EVALUATION QUESTIONS

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
• How and why have project outcomes and strategies contributed to the achievement of the expected results? Have the project outcomes contributed to national development priorities and plans?	• tbd ⁷	• tbd	• tbd
• Are the project's objectives and components clear, practicable and feasible within the project's timeframe?	• tbd	• tbd	• tbd
• Were the capacities of executing institutions and counterparts properly considered when the project was designed?	• tbd	• tbd	• tbd
• Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry?	• tbd	• tbd	• tbd
• What are the underlying factors beyond the project's immediate control and to what extent they have influenced outcomes and results? How appropriate and effective were the project's management strategies for these factors.	• tbd	• tbd	• tbd
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
• To what extent have the project objectives and outcomes, as set out in the Project Document, project's Logical Framework and other related documents, have been achieved?	• tbd	• tbd	• tbd
• Review planned strategies and plans for achieving the overall objective of the project within the timeframe.	• tbd	• tbd	• tbd
• Were the assumptions made by the project right and what new assumptions that should be made could be identified?	• tbd	• tbd	• tbd
• Were the project budget and duration planned in a cost-effective way?	• tbd	• tbd	• tbd
• How and to what extent have implementing agencies contributed and national counterparts (public, private) assisted the project?	• tbd	• tbd	• tbd
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
• How useful was the logical framework as a management tool during implementation and any changes made to it?	• tbd	• tbd	• tbd
• Were the risks identified in the project document and PIRs the most important and the risk ratings applied appropriately?	• tbd	• tbd	• tbd
• How and to what extent have project implementation process, coordination with participating stakeholders and important aspects affected the timely project start-up, implementation and closure?	• tbd	• tbd	• tbd

⁷ tbd – to be determined by consultant in consultations with the project team

Final Report of the Final Evaluation of the MSP Project: Preparing for HCFC Phase-out in CEITs

• Do the outcomes developed during the project formulation still represent the best project strategy for achieving the project objectives?	• tbd	• tbd	• tbd
• How have local stakeholders participated in project management and decision-making? What are the strengths and weaknesses of the approach adopted by the project? What could be improved?	• tbd	• tbd	• tbd
• Does the project consult and make use of skills, experience and knowledge of the appropriate government entities, NGOs, community groups, private sector, local governments and academic institutions in the implementation and evaluation of project activities?	• tbd	• tbd	• tbd
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
• Was project sustainability strategy developed during the project design?	• tbd	• tbd	• tbd
• How relevant was the project sustainability strategy?	• tbd	• tbd	• tbd
• Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood of financial and economic resources not being available once the GEF assistance ends (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)?	• tbd	• tbd	• tbd
• 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/benefits be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there a sufficient public/ stakeholder awareness in support of the long term objectives of the project?	• tbd	• tbd	• tbd
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
• How has the project contributed to the reduced environmental stress and/or improved ecological status?	• tbd	• tbd	• tbd
• Are the project outcomes contributing to national development priorities and plans?	• tbd	• tbd	• tbd

ANNEX D: RATING SCALES

<i>Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E Execution</i> 6: Highly Satisfactory (HS): no shortcomings 5: Satisfactory (S): minor shortcomings 4: Moderately Satisfactory (MS) 3: Moderately Unsatisfactory (MU): significant shortcomings 2: Unsatisfactory (U): major problems 1: Highly Unsatisfactory (HU): severe problems	<i>Sustainability ratings:</i> 4. Likely (L): negligible risks to sustainability 3. Moderately Likely (ML): moderate risks 2. Moderately Unlikely (MU): significant risks 1. Unlikely (U): severe risks	<i>Relevance ratings</i> 2. Relevant (R) 1.. Not relevant (NR) <i>Impact Ratings:</i> 3. Significant (S) 2. Minimal (M) 1. Negligible (N)
<i>Additional ratings where relevant:</i> Not Applicable (N/A) Unable to Assess (U/A)		

ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form⁸

Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: _____

Name of Consultancy Organization (where relevant): _____

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at place on date

Signature: _____

⁸www.unevaluation.org/unegcodeofconduct

ANNEX F: EVALUATION REPORT OUTLINE⁹

- i. Opening page:**
 - Title of UNDP supported GEF financed project
 - UNDP and GEF project ID#s.
 - Evaluation time frame and date of evaluation report
 - Region and countries included in the project
 - GEF Operational Program/Strategic Program
 - Implementing Partner and other project partners
 - Evaluation team members
 - Acknowledgements
- ii. Executive Summary**
 - Project Summary Table
 - Project Description (brief)
 - Evaluation Rating Table
 - Summary of conclusions, recommendations and lessons
- iii. Acronyms and Abbreviations**
(See: UNDP Editorial Manual¹⁰)
- 1. Introduction (4-5 pages)**
 - Purpose of the evaluation
 - Scope & Methodology
 - Structure of the evaluation report
- 2. Project description and development context (2-3 pages)**
 - Project start and duration
 - Problems that the project sought to address
 - Immediate and development objectives of the project
 - Baseline Indicators established
 - Main stakeholders
 - Expected Results
- 3. Findings (20 pages)**
(In addition to a descriptive assessment, all criteria marked with (*) must be rated¹¹)
- 3.1 Project Design / Formulation**
 - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
 - Assumptions and Risks
 - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
 - Planned stakeholder participation
 - Replication approach
 - UNDP comparative advantage
 - Linkages between project and other interventions within the sector
 - Management arrangements
- 3.2 Project Implementation**
 - Adaptive management (changes to the project design and project outputs during implementation)
 - Partnership arrangements (with relevant stakeholders involved in the country/region)
 - Feedback from M&E activities used for adaptive management
 - Project Finance:

⁹The Report length should not exceed 40 pages in total (not including annexes).

¹⁰ UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

¹¹ Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Monitoring and evaluation: design at entry and implementation (*)
 - UNDP and Implementing Partner implementation / execution (*) coordination, and operational issues
- 3.3** **Project Results**
- Overall results (attainment of objectives) (*)
 - Relevance(*)
 - Effectiveness & Efficiency (*)
 - Country ownership
 - Mainstreaming
 - Sustainability (*)
 - Impact
- 4.** **Conclusions, Recommendations & Lessons (3-5 pages)**
- Corrective actions for the design, implementation, monitoring and evaluation of the project
 - Actions to follow up or reinforce initial benefits from the project
 - Proposals for future directions underlining main objectives
 - Best and worst practices in addressing issues relating to relevance, performance and success
- 5.** **Annexes**
- ToR
 - List of persons interviewed
 - List of documents reviewed
 - Evaluation Question Matrix
 - Questionnaire used and summary of results
 - Evaluation Consultant Agreement Form

ANNEX G: EVALUATION REPORT CLEARANCE FORM

Evaluation Report Reviewed and Cleared by

UNDP Country Office

Name: _____

Signature: _____ Date: _____

UNDP GEF RTA

Name: _____

Signature: _____ Date: _____

Annex 2: Schedule of Interviews

<i>Name and Designation</i>	<i>Date</i>	<i>Local Time</i>	<i>Destination Time</i>	<i>Remarks</i>
Rick Cooke Man-West Environmental Group Ltd., Coleman, AB, Canada UNDP Consultant	Thursday, 23 May 2013	5:00 PM	7:40 PM	Consultant responsible for project's preparation for UNDP
Laurent Granier Senior Environmental Specialist, Global Implementing Agency Coordination Unit, World Bank, Washington, DC	Monday, 20 May 2013	5:00 PM	6:30 PM	Formerly (designation?) at GEF Secretariat responsible for the project
Christine Wellington-Moore Programme Officer, STAP Secretariat GEF, UNEP-RONA, Washington, DC	Friday, 17 May 2013	10:00 AM	10:00 AM	Formerly Programme Officer at UNEP/DTIE responsible for UNEP component of the project
Yury Sorokin Industrial Development Officer Montreal Protocol Br., UNIDO Vienna, Austria	As necessary	N/A	N/A	Officer responsible for UNIDO component of the project
Jacques Van Engel Senior Programme Specialist, Montreal Protocol Unit/ Chemicals Environment and Energy Group, BDP, UNDP, New York, NY	Monday, 20 May 2013	11:30 AM	12:50 PM	Officer initially responsible for coordination of the regional project and implementation of the UNDP component
Maksim Surkov Programme Specialist MPU/Chemicals, UNDP Bratislava Regional Centre Bratislava, Slovakia	Different times throughout the evaluation exercise	N/A	N/A	Officer responsible for coordination of the regional project and implementation of the UNDP component

Annex 3: List of Documents Consulted and/or Reviewed

Source	Document/Link
GEF	GEF: Monitoring and Evaluation Policy
GEF	GEF-4 Focal Area Strategies: Ozone Layer Depletion Focal Area Strategy and Strategic Programming for GEF-4
GEF	GEF-5 Focal Area Strategies, page 80-81: Chemicals Strategy Objective 2
GEF	TT-Pilot (GEF 4): Phase Out HCFCs and Promotion of HFC-free Energy Efficient Refrigeration and Air-Conditioning Systems in the Russian Federation Through Technology Transfer (GEF Project ID: 3541) (http://www.thegef.org/gef/project_detail?projID=3541). Includes the following project documents: <ul style="list-style-type: none"> • <i>Endorsement Letter from Government</i> • <i>PIF Document for WPI (Revised)</i> • <i>STAP Screen Report</i>
GEF	Amendment to the medium-sized project, Regional: Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs (Fund transfer from UNDP to UNIDO).
GEF	Azerbaijan: Initiation of the HCFCs Phase out and Promotion of HFCs-Free Energy Efficient Refrigeration and Air-Conditioning Systems (GEF Project ID: 4602) (http://www.thegef.org/gef/project_detail?projID=4602). Includes the following project documents: <ul style="list-style-type: none"> • <i>PPG Document (Revised)</i> • <i>PIF Document for WPI (Revised)</i> • <i>Project Review Sheet</i> • <i>STAP Review (PDF)</i>
UNDP	UNDP/UNEP/UNIDO/World Bank: MSP Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs (GEF Project ID: 3597)
UNDP	Project 3597; 2010 Annual Project Review (APR) and Project Implementation Report (PIR)
UNDP	Project 3597; 2011 Annual Project Review (APR) and Project Implementation Report (PIR)
UNDP	Project 3597; 2012 Annual Project Review (APR) and Project Implementation Report (PIR)
UNDP	Project Level Evaluation: Guidance for Conducting Terminal Evaluations of UNDP-Supported, GEF-Financed Projects
UNDP	National Strategy Outline of the <i>Republic of Belarus</i> on Phasing Out HCFCs
UNDP	National Survey and Development of a National Strategy Outline of HCFC Phase-Out for Consumption Sectors in <i>Republic of Bulgaria</i>
UNDP	National Survey and Development of a National Strategy Outline of HCFC Phase-Out for Consumption Sectors in <i>Republic of Tajikistan</i>
UNDP	National Survey and Development of a National Strategy Outline of HCFC Phase-Out for Consumption Sectors in <i>Republic of Uzbekistan</i>
UNDP	PIF: Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region (<i>Belarus, Tajikistan, Uzbekistan, Ukraine</i>) (GEF Project ID: 4102)
UNDP	PPG Approval Letter: Full Sized Project Proposal Regional (<i>Belarus, Tajikistan, Uzbekistan, Ukraine</i>): Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region
UNDP	PIMS 4309 (FSP): Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region: Regional (GEF PROJECT ID: 4102)
UNDP	PIMS 4309 (FSP): “Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region: Belarus (GEF Project ID: 4102)
UNDP	PIMS 4309 (FSP): “Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region: Tajikistan (GEF Project ID: 4102)
UNDP	PIMS 4309 (FSP): “Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region: Ukraine (GEF Project ID: 4102)
UNDP	PIMS 4309 (FSP): “Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region: Uzbekistan (GEF Project ID: 4102)
UNDP	Background Note on HCFC Phase-Out in Ukraine: Non-compliance Prospects and Plan of Actions, Prepared for the Ozone Secretariat, May 2012

UNDP	Summary of activities and MOP-24's decision in support of a revised, relaxed HCFC phase-out schedule, <i>Ukraine non-compliance on HCFC consumption: Montreal Protocol</i>
UNDP	Memorandum of Understanding between UNDP and UNEP
UNDP	UNEP Telefax: Cash advance (to UNDP)
UNEP OzonAction Programme, (ECA Ozone Network)	Annual Meeting of the Regional Ozone Network for Europe & Central Asia (ECA Network Meeting) Ohrid, Macedonia FYR, 21-23 May 2013: <ul style="list-style-type: none"> • <i>List of Participants;</i> • <i>Media Briefing: 10 years of networking & mutual support between Parties to the Montreal Protocol in Europe & Central Asia;</i> • <i>Vasily Zelikov, Поэтапный отказ от ГХФУ в Российской Федерации (Powerpoint presentation);</i> • <i>Фархат Сайдиев (Farkhat Saidiev), Республика Узбекистан: Первоначальное выполнение ускоренного сокращения ГХФУ в регионе стран с переходной экономикой (СПЭ)</i> President of the Russian Federation signed the Federal Law "On Amendments to the Federal Law" On Environmental Protection (www.ozoneprogram.ru/eng/news/amendments_to_the_law/)
UNEP, Ozone Secretariat	Report of the 16 th Meeting of the Parties to the Montreal Protocol, Prague, 22-26 Nov. 2004, Page 38: Presentation by the Representative of the GEF
UNEP, Ozone Secretariat	Report of the Implementation Committee under the Non-Compliance Procedure for the Montreal Protocol on the work of its forty-seventh meeting, Bali, Indonesia, 18 and 19 November 2011
UNEP, Ozone Secretariat	ODS Consumption in ODP Tonnes, Annex C, Group 1 (HCFCs) (Asia, Eastern Europe) (Database last updated: Friday 1st March 2013) (http://ozone.unep.org/new_site/en/Information)
UNEP, Ozone Secretariat	ODS Production in ODP Tonnes, Annex C, Group 1 (HCFCs) (Asia, Eastern and Western Europe and others) (Database last updated: Friday 1st March 2013) (http://ozone.unep.org/new_site/en/Information/generate_report.php?calculated_field=ODS+Production)
UNEP, Ozone Secretariat	Status of Ratification (http://ozone.unep.org/new_site/en/treaty_ratification_status.php)
UNEP, Ozone Secretariat	Focal Points for Licensing Systems for Trade in Ozone Depleting Substances (Decision IX/8(2) (http://ozone.unep.org/new_site/en/ozone_data_tools_focal_points_licensing_systems.php))
UNIDO ¹²	PIF (Full Sized Project): Phase-out of CFC consumption in the manufacture of aerosol metered-dose inhalers (MDIs) in the <i>Russian Federation</i> *
UNIDO	PIF (Medium-sized Project): <i>Republic of Kazakhstan</i> - Introduction of ODS alternatives in agriculture and in post-harvest sector*
UNIDO	PIF (Full Sized Project): <i>The Republic of Azerbaijan</i> - Initiation of the HCFCs Phase out and Promotion of HFCs-Free Energy Efficient Refrigeration and Air-Conditioning Systems
UNIDO	PIF: Phase out of HCFCs and promotion of HFC-free Energy Efficient Refrigeration and Air-conditioning systems in the <i>Russian Federation</i> through technology transfer.
UNIDO	Национальные исследования и разработка плана национальной стратегии поэтапного отказа от потребления ГХФУ в потребительских секторах <i>Азербайджана</i>
UNIDO	Программа Поэтапного Сокращения Потребления Озоноразрушающих Веществ (Гидрохлорфторуглеродов) В <i>Республике Казахстан</i>

¹² Items marked with asterisks (*) are unrelated to the evaluation and were, therefore, not used as sources of information.

Annex 4.1: Letter of Endorsement - Government of Azerbaijan

AZƏRBAYCAN RESPUBLİKASI
EKOLOGİYA VƏ TƏBİİ SƏRVƏTLƏR
NƏZİRLİYİ



MINISTRY OF ECOLOGY
AND NATURAL RESOURCES OF
REPUBLIC OF AZERBAIJAN

AZ1073 Azerbaijan, Baku, B. Aghayev Str. 100A

Tel: (99412) 492-59-07, Fax: (99412) 492-59-07

№ 4/218-09

B. Aghayev Str. 100A, AZ1073 Baku, Azerbaijan

Tel: (99412) 492-59-07, Fax: (99412) 492-59-07

" 29 " 01 2008 il

Mr. Si Ahmed
Director Multilateral
Agreements Branch, UNIDO

Dear Mr. Si Ahmed

Reference is made to the obligation of the Azerbaijan Republic under the Montreal Protocol to step-wise phasing-out of HCFC from import, export, production and consumption. The Ministry of Natural Resources of Azerbaijan is planning to launch a relevant national project to plan the phasing-out activities and to establish in the country a sound management system, which includes regulatory, organizational, technological aspects and, in the last run, the phasing-out of HCFC.

This project falls under a priority OZ-1 of the GEF "Address HCFCs, residual use of MeBr, and strengthen institutions and other non-investment activities" and we seek the assistance of UNIDO to prepare a project document for this subject and to apply to GEF for its financing".

The Ministry consider that mentioned project corresponds to priorities of the Azerbaijan policy in the field of implementation of the Montreal Protocol by ozone depletion substances.

Sincerely,

Imran Abdulov

National Focal Point in Azerbaijan

Montreal Protocol by ozone depletion substances

Annex 4.2: Letter of Endorsement - Government of Belarus



МІНІСТЭРСТВА
ПРЫРОДНЫХ РЭСУРСАЎ І АХОВЫ
НАВАКОЛЬНАГА АСЯРОДДЗЯ
РЭСПУБЛІКІ БЕЛАРУСЬ

вул. Калектарная, 10, 220048, г. Мінск
Тэл. (37517) 220-66-91; факс (37517) 220-55-83
E-mail: minproos@mail.belpak.by
Р/р № 3604900000111 ААБ «Беларусбанк»
г. Мінск, код 795, УНП 100519825; АРІПА 00012782

МИНИСТЕРСТВО
ПРИРОДНЫХ РЕСУРСОВ И
ОХРАНЫ ОКРУЖАЮЩЕЙ СРЕДЫ
РЕСПУБЛИКИ БЕЛАРУСЬ

ул. Коллекторная, 10, 220048, г. Минск
Тел. (37517) 220-66-91; факс (37517) 220-55-83
E-mail: minproos@mail.belpak.by
Р/с № 3604900000111 АСБ «Беларусбанк»
г. Минск, код 795, УНП 100519825; ОКПО 00012782

27.07.2007 № 12-09/2099-ВН

На № 580/2007 ад 28.06.2007

Представителю ООН/ПРООН
в Республике Беларусь

Джихан Султаноглу

220050, г. Минск,
ул. Кирова, 17

Об участии в региональной
программе ГЭФ по выведению
из использования ГХФУ

Уважаемая госпожа Джихан Султаноглу!

Министерство природных ресурсов и охраны окружающей среды рассмотрело предлагаемое проектное предложение и благодарит за оказанную возможность принять участие в региональной программе ГЭФ по выведению из использования ГХФУ в странах с переходной экономикой.

Республика Беларусь ратифицировала 18 декабря 2006 года Копенгагенскую, Монреальскую и Пекинскую поправки к Монреальскому протоколу по веществам, разрушающим озоновый слой. В республике проводится работа по выполнению принятых поправок.

Мы с пониманием относимся к необходимости ускоренного вывода из обращения не только озоноразрушающих веществ приложений А и В, как обладающих наиболее высокой озоноразрушающей способностью, но и приложения С. Существует также понимание воздействия, которое ГХФУ оказывают не только на озоновый слой, но и на изменение климата и необходимости в ускорении графика поэтапного отказа от них.

В настоящее время Секретариатом Монреальского протокола ведется активная работа по подготовке корректировок к Монреальскому протоколу, касающихся ужесточения графиков поэтапного отказа от гидрохлорфторуглеродов (ГХФУ).

За последние десять лет в республике осуществлены многочисленные проекты с целью вывода из обращения ХФУ (фреоны – 11, -12). Проведена модернизация с переводом на использование

Зап. 101. Тип. 1500.

переходных хладагентов с низкой озоноразрушающей способностью (в основном ГХФУ-22, 21, 142b, 141b) холодильного оборудования и техпроцессов промышленных и сельскохозяйственных предприятий.

Ускоренный отказ от использования ГХФУ повлечет за собой необходимость изучения и оценки существующей в республике ситуации с наличием в стране оборудования и технологий, поиска альтернатив, изучения экономической целесообразности и стоимости предстоящих работ.

Особенно важно для нас в настоящий момент провести изучение объемов текущего и будущего потребления ГХФУ, а также объемов использования ГФУ и альтернативных им соединений, не содержащих ОРВ и разработать национальную стратегию по сокращению использования ГХФУ и ГХУ, с определением наиболее проблемных участков и мероприятий.

Минприроды имеет хороший опыт совместной работы с Программой развития ООН, Программой ООН по окружающей среде и Всемирным Банком. В 1996-1998 годах с участием Всемирного Банка был разработан и реализован «Проект поэтапного сокращения потребления озоноразрушающих веществ в Республике Беларусь».

В результате реализации проекта на предприятиях Беларуси введено в эксплуатацию самое современное технологическое оборудование на сумму 6,9 млн. долларов США, которое позволило вывести из обращения более 600 тонн озоноразрушающих веществ.

Министерство природных ресурсов и охраны окружающей среды от имени Республики Беларусь одобряет предлагаемый региональный проект по выводу из использования в Восточной Европе и Центральной Азии группы озоноразрушающих веществ, известных как гидрохлорфторуглероды, и примет активное участие в его осуществлении.

Первый заместитель Министра



А.Н. Апацкий

12 Бамбиза 200 62 61
16.02 2007 C.UNDP

Received on:	27. 07. 07.
By:	
Forwarded to:	
N 196/2007	

Annex 4.3: Letter of Endorsement - Government of Bulgaria-

FROM : UNDESA INTERNATIONAL COOPERATION FAX NO. : +359 2 980 84 86

Jan. 19 2006 03:16PM P1

REPUBLIC OF BULGARIA



MINISTRY OF ENVIRONMENT AND WATER

30 December 2005

2006/021

Re: Endorsement letter for the regional GEF Medium-Sized Project Proposal *Preparing for HCFC Phase-out in CEITs: needs, benefits and potential synergies with other MEAs*.

Dear Mr. Shende,

Further to the activities implemented under the Montreal Protocol to phase out Ozone Depleting Substances, we would like to express our interest to participate in the regional GEF project *"Preparing for HCFC phase-out in CEITs: needs, benefits and potential synergies with other MEAs"*.

Bulgarian Government recognizes the value of being part of this important regional project as it considers that it will help for the better understanding of the phase-out procedure of HCFCs in all sectors. Through realization of surveys of HCFCs use in eligible countries with economy in transition and identification of needs for further activities the project will assist these countries to remain in compliance with their Montreal Protocol obligations. We therefore endorse the presented project proposal.

Sincerely,

Jordan Dardov
GEF Political Focal Point

Emilia Kraeva
GEF Operational Focal Point

Mr. Rajendra Shende
Head, OzoneAction Branch
UNEP DTIE
39-43 quai Andre Citroen, 75739 Paris
Fax: 33 1 44 37 14 74.

Copy to:
Dr. Suehy Carvalho
Chief, Montreal Protocol Unit, UNDP
304 East 45th Street, New York, NY 10017
Fax: 1 212 906 5004

UNEP DTIE	
Mail <input type="checkbox"/> Fax <input checked="" type="checkbox"/> Courier <input type="checkbox"/> Pouch <input type="checkbox"/> E-Mail <input type="checkbox"/>	Rec'd
19 JAN. 2006	
Registry No. 516	By RB
To: RB	Reg'd <input type="checkbox"/>
CC: RB	Missing pages Reg'd <input type="checkbox"/>

1000 Sofia, 67 William Gladstone St. Phone: + 359 2 940 6257; Fax: + 359 2 981 6610

HCFC - Bulgaria

Annex 4.4: Letter of Endorsement - Government of Kazakhstan

DTIE CLIMATE CHANGE CENTRE

НӨМЕР ТЕЛЕФОНЫ: 73172324738

ЯНВ. 30 2006 13:00 СТР.1

2006/033

ҚАЗАҚСТАН
РЕСПУБЛИКАСЫНЫҢ
ҚОРШАҒАН ОРТАНЫ
ҚОРҒАУ МИНИСТРЛІГІ



МИНИСТЕРСТВО
ОХРАНЫ
ОКРУЖАЮЩЕЙ СРЕДЫ
РЕСПУБЛИКИ КАЗАХСТАН

010000, Астана қаласы, Жетіс даярлы, 31 үй
Тел: 59-19-44, факс 59-19-73

010000, город Астана, пр. Победы, 31
Тел: 59-19-44, факс 59-19-73

№ 04.2.2-10/146-4
на № _____ от 30.01.06

To: Mr. Rajendra Shende
Coordinator UNEP IE
Ozone Action Programme
Fax Number (331) 443 714 74

CC: Jacques Van Engel
Programme Coordinator
Montreal Protocol Unit, EFG, BDP
United Nations Development Programme
Fax Number (1 212) 906 6947

Steve Gorman
Operations Coordinator
Montreal Protocol and POPs World Bank
Fax Number (1 202) 522 3256

UNEP DTIE	
Mail <input type="checkbox"/> Fax <input checked="" type="checkbox"/> Courier <input type="checkbox"/> Pouch <input type="checkbox"/> E-Mail <input type="checkbox"/>	Rec'd <input checked="" type="checkbox"/>
30 JAN. 2006	
Registry No. 712	By RB
To: RB	Reg'd <input type="checkbox"/>
CC: RB	Missing pages Reg'd <input type="checkbox"/>

Dear Mr. Rajendra Shende

Taking the opportunity I would like to express our highest consideration and appreciation for cooperation in the field of the environment protection in Kazakhstan.

By this letter the Ministry of Environment Protection supports the project "Preparing for HCFC phase out in CEITs: needs, benefits, and potential synergies with other MEAs".

The Ministry of Environment Protection considers the project to be an important and valuable exercise in our ongoing efforts to protect the global environment while working to achieve compliance with the Montreal Protocol.

Hereby we would also like to express our wish to see UNEP as the Executing Agency for this GEF project.

Sincerely Yours,

Minister
Kamaltin Muhamedzhanov

[Signature]

cc ALS
CW
can we discuss
1
311

032302
HCFC - KAZ

**Annex 4.5-1: Government of the Russian Federation – Initial Letter of Participation
in Regional MSP to UNDP**



**МИНИСТЕРСТВО
ПРИРОДНЫХ РЕСУРСОВ
РОССИЙСКОЙ ФЕДЕРАЦИИ**

123995, Москва, Д-242, ГСП-5
ул. Б.Грузинская, 4/6
Тел.: (7-495) 252 03 00
Факс: (7-495) 254 82 83

**MINISTRY
OF NATURAL RESOURCES
OF THE RUSSIAN FEDERATION**

4/6, B. Grouzinskaya str.
Moscow D-242, GSP-5, 123995
Tel.: (7-495) 252 03 00
Fax: (7-495) 254 82 83

17 июня 2007 года

Г-ну Марко Борсотти
Постоянному Представителю
ПРООН в России,
Постоянному Координатору
ООН
119034, Москва, ул.Остоженка,
д.28

Уважаемый господин Борсотти!

Министерство природных ресурсов Российской Федерации (далее – МПР России) рассмотрело обращение программы развития ООН (далее – ПРООН) от 2 июля 2007 г. № 07/07/229/RR об участии Российской Федерации в региональной инициативе по изучению вопросов вывода группы озоноразрушающих веществ (ОРВ), или гидрохлорфторуглеродов (далее – ГХФУ) из потребления в Восточной Европе и Центральной Азии и сообщает.

МПР России уделяет большое внимание проблемам экологии и, в частности, проблемам выполнения подписанных международных соглашений и конвенций. Вопросы, связанные с обязательствами РФ по защите озонового слоя Земли, находятся в сфере постоянного внимания МПР России.

Министерство в целом поддерживает инициативу ПРООН, ЮНЕП и Мирового Банка по подготовке проекта поэтапного устранения ГХФУ в странах с переходной экономикой. Наибольший интерес для российской стороны представляют части проектного предложения связанные с изучением возможностей объединения усилий с другими глобальными конвенциями и оценкой результатов и выгод от глобального поэтапного устранения ГХФУ.

Вопрос национальной стратегии поэтапного устранения ГХФУ, по мнению МПР РФ, будет целесообразнее и эффективнее решать в рамках национального проекта. Министерство, в сотрудничестве с ЮНИДО, уже начало разработку соответствующего проектного предложения.

В настоящее время МПР России, совместно другими ведомствами, национальными консультантами и специалистами ЮНИДО ведут сбор необходимой информации о производстве и использовании ГХФУ в России и путях и методах их замещения и уничтожения. Ориентировочно, проектное предложение будет подготовлено к августу 2007 года.

Считаем целесообразным провести переговоры между ПРООН, как головной организации регионального проекта, и ЮНИДО с целью налаживания координации и сотрудничества между этими проектами.

МПР РФ проинформирует ЮНИДО своей вышеизложенной позиции с тем, чтобы при разработке этих проектных предложений избежать дублирования и найти наиболее эффективные пути их выполнения.

Национальный координатор
ГЭФ в России -
Директор Департамента
международного сотрудничества



И.И.Майданов

Н.В. Воронов
2.54-56-61

**Annex 4.5-2: Government of the Russian Federation – Initial Letter of Participation
in Regional MSP to UNDP (English Translation)**

Unofficial translation

Ministry of Natural Resources of the Russian Federation

4/6, B.Gruzinskaya str.
Moscow D-242, GSP-5, 123995
Tel: (+7 495) 252-0300
Fax: (+7 495) 254-8283

17 July 2007

To: Mr. Marco Borsotti
UNDP Resident Representative
UN Resident Coordinator
in the Russian Federation
119034, Moscow, Ostozhenka, 28

Dear Mr. Borsotti!

The Ministry of Natural Resources of the Russian Federation (MNR) considered a proposal outlined in the letter from the United Nations Development Programme (UNDP) #07/07/229/RR dated 2 July 2007 regarding Russia's participation in the regional initiative aimed at phasing out of specific Ozone Depleting Substances (ODS) known as hydrochlorofluorocarbons (HCFCs) in Eastern Europe and Central Asia.

The MNR places a high emphasis on ecological problems, including the issues related to the implementation of international treaties and conventions. The MNR constantly gives attention to the issues related to Russia's commitments towards the protection of ozone layer.

The Ministry generally endorses the joint initiative of UNDP, UNEP and the World Bank to develop a project addressing a gradual phase out of HCFCs in the countries with transition economies. The Russian party is mostly interested in the project components that propose to analyze the potential for collaboration with other international conventions and to assess the outcomes and benefits of the global gradual phasing out of HCFCs.

The Ministry suggests that the development of national strategy for HCFC phase out could be addressed in a more feasible and effective way through a national project. The Ministry in cooperation with UNIDO has already started developing of a corresponding project proposal.

In the meantime, the MNR in partnership with other agencies, national consultants and UNIDO experts is collecting the necessary information on the production and use of HCFCs in Russia and on the ways of their replacement and utilization. Tentatively, the project proposal will be developed by August 2007.

We recommend that UNDP as a lead Agency for the regional project conducts negotiations with UNIDO in order to establish cooperation and coordination among these projects.

The MNR will inform UNIDO on the above position in order to avoid any duplication during the project preparation process and to agree on the most effective ways for their implementation.

I.I.Maidanov
GEF National OFP
Director, Department of International Cooperation

**Annex 4.5-3: Government of the Russian Federation – Letter of Endorsement to
UNDP/UNIDO**



**МИНИСТЕРСТВО
ПРИРОДНЫХ РЕСУРСОВ
РОССИЙСКОЙ ФЕДЕРАЦИИ**

123995, Москва, Д-242, ГСП-5
ул. Б.Грузинская, 4/6
Тел.: (7-495) 252 03 00
Факс: (7-495) 254 82 83

**MINISTRY
OF NATURAL RESOURCES
OF THE RUSSIAN FEDERATION**

4/6, B. Grouzinskaya str.
Moscow D-242, GSP-5, 123995
Tel.: (7-495) 252 03 00
Fax: (7-495) 254 82 83

«22» 02 2008

To: Yannick Glemarec
UNDP/GEF Executive Coordinator
304 East 45th Street, 9th Floor, New York
NY 10017

Dmitri Piskounov
UNIDO/GEF Executive Coordinator
Vienna International Centre
P.O. Box 300
1400 Vienna, Austria

Subject: Russian HCFC phase-out project

Dear Sirs,

We would like to inform you that after careful analysis of the current situation on the HCFC phase-out in the Russian Federation, we would like to convey the following proposals to the IAs.

The RF is reconfirming the participation in the Regional HCFC survey project and the Ministry of Natural Resources, in principle, agreed to cooperate in this project with UNIDO.

However, our understanding is that the regional project has to lead to investment project for the participating countries and we expect that this recommendation would be reflected in the project document as one of its outcomes.

Additionally, taking into consideration that Russia is the only producer of HCFC in the region, we suggested that a project for the production closing of

HCFC had to be initiated as a country project for Russia as soon as possible and ideally in parallel with the survey.

Moreover, we would like to propose an approach in phases in order to make the whole closing programme of HCFC production more economically efficient and to give a possibility to the producers to gradually adjust to the new requirements of the new MP targets.

The first phase of the pilot project, could be done during 2008-2009, with an approximate budget of US\$ 2-3 Mio from GEF plus co-financing. This will address the selection of the appropriate technology and demonstrate the most efficient way of its application. Such experience will be diffidently very useful for other world producers of HCFC and governments.

The next phase of a programme for Russian Federation could be done during 2010-2012. The experience of the demonstration project would be expanded for other Russian HCFC producers.

We would greatly appreciate if UNIDO and UNDP could consult with the GEF Secretariat on the proposed possible scenario in the production sector and phasing out of HCFC.

Sincerely,
Igor I. Maydanov,
GEF National Focal Point in Russia
Director of Department
for International cooperation



Annex 4.5-4: Government of the Russian Federation – Letter of Endorsement for FSP 3541



**МИНИСТЕРСТВО
ПРИРОДНЫХ РЕСУРСОВ
И ЭКОЛОГИИ
РОССИЙСКОЙ ФЕДЕРАЦИИ**

123995, Москва, Д-242, ГСП-5,
ул. Б. Грузинская, 4/6.
Тел. +7 (499) 252-03-00.
Факс: +7 (495) 254-82-83, +7 (499) 252-67-47.
E-mail: admin@mnr.gov.ru

**MINISTRY
OF NATURAL RESOURCES
AND ENVIRONMENT
OF THE RUSSIAN FEDERATION**

4/6, B. Grouzinskaya str.
Moscow, D-242, GSP-5, 123995.
Phone +7 (499) 252-03-00.
Fax: +7 (495) 254-82-83, +7 (499) 252-67-47.
E-mail: admin@mnr.gov.ru

16 September 2009

To: Mr. Dmitri Piskounov
Managing Director
Programme and Technical Cooperation Division
United Nations Industrial Development Organization
Vienna International Centre
Wagramerstr. 5
P.O. Box 300
A-1400 Vienna
Austria

Reference is made to the obligation of the Russian Federation under the Montreal Protocol to step-wise phasing out of HCFC from import, export, production and consumption. The Ministry of Natural Resources of the Russian Federation is planning to launch a relevant national project to plan the phase-out activities and to establish a sound management system in the country, which includes regulatory, organizational, technological aspects and the phasing out of HCFC and promoting of climate friendly alternatives.

This project falls under priority ODS-SPI, CLIMATE CHANGE-SP6, TECHNOLOGY TRANSFER and we seek the assistance of UNIDO in preparing a project document for this subject and to apply to the GEF for the project's financing using allocations from ODS - \$10 Million, Climate Change – \$7 Million (Russian RAF) and \$3 Million from the Technology Transfer component.

The Ministry considers that the project "Phase out of HCFCs and promotion of HFC-free energy efficient refrigeration and air-conditioning systems in the Russian Federation through technology transfer" corresponds to the priorities of the Russian policy within the field of the implementation of the Montreal Protocol and the reduction of GHG.

Best regards,
Igor I. Maydanov

National GEF Focal Point

Annex 4.6: Letter of Endorsement - Government of Tajikistan

ЧУМХУРИИ ТОЧИКИСТОН

КУМИТАИ ДАВЛАТИИ ХИФЗИ
МУХИТИ ЗАИСТ ВА ХОЧАГИИ
ЧАНГАЛ



REPUBLIC OF TAJIKISTAN

STATE COMMITTEE ON
ENVIRONMENT PROTECTION
AND FORESTRY

734055, ш. Душанбе, кўчаи Дехоти, 50
тел.: (992372) 21-30-39
факс: (992372) 21-18-39, 21-59-94
E-mail: akarimov@tojikiston.com

734055, Dushanbe, 50, Dehoti Street
tel.: (992372) 21-30-39
fax: (992372) 21-18-39, 21-59-94
E-mail: akarimov@tojikiston.com

№ 998/1-13
« 14 » 11 2005

Mr. Shende
Head Energy and Ozone Action Branch

Dear Mr. Shende,

Please, let me, first of all, to testify my highest consideration to you personally and to UNEP/DTIE for the great attention, that you pay to Tajikistan in area of realization the National Programme on ODS phase out.

As a response to your message form 04.11.2005 concerning Regional Medium Size Project (MSP) on "Preparing for HCFC phase out in CEITs: needs, benefits, and potential synergies with other MEAs", the State Committee on Environment Protection and Forestry of Republic Tajikistan, taking into account the importance of problem, expresses its interest in realization of above-mentioned Project.

Please, dear Mr. Shende, accept the assurance in my highest consideration.

Abdulahid Karimov,

Chairman of State Committee
on Environment Protection and Forestry
of Republic Tajikistan

Annex 4.7-1: Letter of Endorsement - Government of Ukraine (in Ukrainian)



УКРАЇНА

МІНІСТЕРСТВО ОХОРОНИ НАВКОЛИШНЬОГО ПРИРОДНОГО
СЕРЕДОВИЩА УКРАЇНИ

03035, м.Київ-35, вул.Урицького, 35, тел.: (044) 206-31-00, факс: (044) 206-31-07

№ _____
на № _____

Постійному Представнику Програми
розвитку ООН,
Резиденту-координатору системи
ООН в Україні
п. Френсісу О'Доннеллу

Шановний пане О'Доннелл!

Міністерство охорони навколишнього природного середовища України засвідчує свою повагу Програмі Розвитку ООН в Україні та має честь поінформувати про наступне.

Міністерство охорони навколишнього природного середовища України розглянуло пропозицію Програми Розвитку ООН в Україні (ПРООН) від 11 липня 2007 р. стосовно участі України у регіональній ініціативі з метою видалення озоноруйнівних речовин, відомих як гідрохлорфторвуглеводні (ГХФВ), у Східній Європі та Центральній Азії.

Ми приділяємо значну увагу екологічним проблемам, включаючи питання щодо виконання міжнародних угод та конвенцій. Україна відіграє активну роль у впровадженні Монреальського протоколу про речовини, що руйнують озоновий шар та поправок до нього.

Міністерство в цілому підтримує спільну ініціативу ПРООН та Світового банку щодо впровадження проекту, спрямованого на поетапне видалення ГХФВ у країнах із перехідною економікою. Ми впевнені, що вищезазначений проект дозволить видалити ГХФВ в Україні та сприятиме виконанню нею своїх міжнародних зобов'язань за Монреальським протоколом.

Користуючись нагодою, Міністерство охорони навколишнього природного середовища України поновлює Програмі Розвитку ООН в Україні запевнення у цілковитій повазі.

З повагою

Перший заступник Міністра,
Оперативний Координатор ГЕФ

С. Куруленко



Annex 4.7-2: Letter of Endorsement - Government of Ukraine (English)

Unformed translation

To: **Mr. Francis M. O'Donnell**
UNDP Resident Representative
UN Resident Coordinator in Ukraine

Dear Mr. O'Donnell!

Ministry for Environmental Protection of Ukraine presents its compliments to the United Nations Development Programme in Ukraine and has the honor to inform the following.

The Ministry for Environmental Protection of Ukraine considered a proposal outlined in the letter from the United Nations Development Programme (UNDP) dated 11 July 2007 regarding Ukraine's participation in the regional initiative aimed at phasing out of specific Ozone Depleting Substances known as hydrochlorofluorocarbons (HCFCs) in Eastern Europe and Central Asia.

We pay significant attention to the ecological problems, including the issues related to the implementation of international treaties and conventions. Ukraine is very active in implementation of the Montreal protocol and amendments to it.

The Ministry generally endorses the joint initiative of UNDP and the World Bank to develop a project addressing a gradual phase out of HCFCs in the countries with transition economies. We confident that implementation of abovementioned project will allow Ukraine to phase out HCFCs, promote the fulfillment of its international obligations and participate more actively in the implementation of the Montreal Protocol.

Ministry for Environmental Protection of Ukraine avails itself of the opportunity to renew to the United Nations Development Programme in Ukraine the assurances of its highest consideration.

Sincerely yours



**First Deputy Minister for
Environmental protection of Ukraine,
GEF OFF**

S. Kurulenko



Annex 4.8: Letter of Endorsement - Government of Uzbekistan

FROM : OZONE OFFICE.

FAX NO. : 1207129

Feb. 27 2006 03:04PM P1

2006 / 085

ГОСУДАРСТВЕННЫЙ КОМИТЕТ РЕСПУБЛИКИ УЗБЕКИСТАН ПО ОХРАНЕ ПРИРОДЫ	УЗБЕКИСТОН РЕСПУБЛИКАСИ ТАБИАТИИ МУХОРАРА КИЛИШ ДАВЛАТ КУМИТАСИ	STATE COMMITTEE FOR NATURE PROTECTION OF THE REPUBLIC OF UZBEKISTAN
99, Avenue Amira Temura, 700084, Tashkent, Republic of Uzbekistan	TELEFAX TRANSMISSION	Tel.: (998 71) 1449116/ 1449118 Fax: (99871) 1207129 E-mail: ozon@tkt.uz

Date 25 February 2006

To: Mr. Rajendra M. Shende, Head
UNEP DTIE OzoneAction Branch
Fax No: (33-0) 144 37 14 74, Paris, France

Cc: Dr Suely Carvalho, Chief, Montreal Protocol Unit
ESDG/BDP/UNDP
Fax: 1 212 906 6947, New York, USA

From: Mr. B. Alikhanov, Chairman
State Committee for Nature Protection

Sergey Maygkov, GEF Focal Point,
Republic of Uzbekistan

Subject: ENDORSEMENT LETTER

Regional Project: Preparing for HCFC phase out in CEITs: needs, benefits, and potential synergies with other MEAs

UNEP DTIE	
Mail <input type="checkbox"/> Fax <input checked="" type="checkbox"/> Courier <input type="checkbox"/> Pouch <input type="checkbox"/> E-Mail <input type="checkbox"/>	Rec'd
27 FEB. 2006	
Registry N° 689	By SO
To: BMS	Reg'd <input type="checkbox"/>
CC CW/MB	Missing pages Req'd <input type="checkbox"/>

Dear Mr. Shende,

Further to the activities implemented under the Montreal Protocol related to phase out ozone depleting substances, we would like to express our interest in working with UNEP and UNDP on preparations for HCFC phase out in our country through this regional project.

The Republic of Uzbekistan has ratified the Montreal Protocol and we would like to participate in the regional exercises of this project. Moreover, we would welcome any activity in Uzbekistan, should it be found necessary for such activities during the project development phase.

We'd like to support the project with in kind contribution by providing the project's coordination, documents publication and other appropriate activities during the project implementation.

We believe that this project would be of great assistance for our country in meeting our Montreal Protocol ODS phase-out deadlines as stipulated by the Protocol. Uzbekistan as a Party operating under the Article 2 of the Protocol needs to reduce its HCFC consumption to 65% of its baseline in 2004, to 35% of that level in 2010, to 10% by 2015, to 5% in 2020 and finally full phase out in 2030.

Signed:
on behalf of the State Committee for Nature Protection of the Republic of Uzbekistan

B. B. Alikhanov,
Chairman, GEF Political Point of the Republic of Uzbekistan

Date:

Sergey Maygkov

GEF Focal Point of the Republic of Uzbekistan

Date:

C:\Document and Settings\Hasekua\Рабочий стол\Uzbek HCFC endorsement letter 230206.doc

CW
CC YA

Annex 4

List of Government Letters of Endorsement for the Regional MSP

Annex 4.1	Letter of Endorsement - Government of Azerbaijan
Annex 4.2	Letter of Endorsement - Government of Belarus
Annex 4.3	Letter of Endorsement - Government of Bulgaria
Annex 4.4	Letter of Endorsement - Government of Kazakhstan
Annex 4.5-1	Government of the Russian Federation – Initial Letter of Participation in Regional MSP to UNDP
Annex 4.5-2	Government of the Russian Federation – Initial Letter of Participation in Regional MSP to UNDP (English Translation)
Annex 4.5-3	Government of the Russian Federation – Letter of Endorsement to UNDP/UNIDO
Annex 4.5-4	Government of the Russian Federation – Letter of Endorsement for FSP 3541
Annex 4.6	Letter of Endorsement - Government of Tajikistan
Annex 4.7-1	Letter of Endorsement - Government of Ukraine (in Ukrainian)
Annex 4.7-2	Letter of Endorsement - Government of Ukraine (English)
Annex 4.8	Letter of Endorsement - Government of Uzbekistan

ANNEX 5

EVALUATION QUESTIONS FOR THE GEF MSP PROJECT (PIMS 3597): "PREPARING FOR HCFC PHASE OUT IN CEITS: NEEDS, BENEFITS AND POTENTIAL SYNERGIES WITH OTHER MEAS"¹

(Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan)

Evaluative Criteria Questions	Indicators	Sources	Methodology
Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?			
<ul style="list-style-type: none"> How have project outcomes and strategies contributed to the achievement of the expected results? 	<ul style="list-style-type: none"> HCFC phase-out strategy outlines, inclusive of cost estimates, developed for 8 participating CEITs within project time frame; High potential for timely phase-out of HCFC production and consumption regionally and nationally evident through design/proposal of follow-up strategies and projects; Identification and analysis of the various HCFC distribution channels within and between participating countries; Regional measures and cooperation for HCFC phase-out: development of cost-estimated, HCFC phase out strategies for the participating countries with links to other CEITs in region; Completion of a comprehensive report on global holistic HCFC phase out scenarios and strategies; Completion of a desk study to examine possibilities for synergies with other chemicals MEAs. 	<ul style="list-style-type: none"> UNDP, UNIDO HCFC Phase-out Strategy outlines and related project documents and progress reports (PIR, PIMS); Relevant IA staff UNDP, UNEP, UNIDO and WB; International and national project consultants of UNDP, UNEP, UNIDO and World Bank; Government authorities (National GEF and/or Ozone Focal Point (NFP/NOU). 	<ul style="list-style-type: none"> Review of documents; Review progress and mission reports; Interview relevant IA staff and experts (UNDP/UNEP/UNIDO/WB); Interview NFP and/or NOU representatives (as applicable).

¹ Annex C of the terms of reference for the evaluation.

<ul style="list-style-type: none"> Have the project outcomes contributed to national development priorities and plans? 	<ul style="list-style-type: none"> Strategy of replacement of HCFCs with mature, environmentally sound and economically viable alternatives in a manner consistent with the main directions of socio-economic development of the country; The country's ability to meet its international obligations (e.g. scheduled HCFC phase-out, MP amendment ratifications, timely data reporting) is facilitated; 	<ul style="list-style-type: none"> UNDP, UNIDO HCFC Phase-out Strategy outline and related project documents and project documents and related progress reports (PIR, PIMS); Ozone Secretariat data reports; Implementation Committee reports and recommendations; Reports of MOPs to the MP; Relevant staff of UNDP/UNIDO. 	<ul style="list-style-type: none"> Review of documents; Interview relevant IA staff (UNDP/UNIDO);
<ul style="list-style-type: none"> Are the project's objectives and components clear, practicable and feasible within the project's timeframe? 	<ul style="list-style-type: none"> Finite, goal-oriented and practical enabling activities and conversion (HCFC phase-out investment) projects. 	<ul style="list-style-type: none"> UNDP, UNIDO HCFC phase-out strategy outlines and related (project documents) 	<ul style="list-style-type: none"> Review of documents Interview relevant IA staff (UNDP/UNEP/UNIDO/WB HCFC)
<ul style="list-style-type: none"> What are the underlying factors beyond the project's immediate control and to what extent they have influenced outcomes and results? How appropriate and effective were the project's management strategies for these factors. 	<ul style="list-style-type: none"> Implementation issues -- ability/failure to execute or complete planned components of project; 	<ul style="list-style-type: none"> UNDP, UNIDO HCFC Phase-out Strategy and project documents and related progress reports (PIR, PIMS); Relevant IA staff (UNDP/UNEP/UNIDO/WB HCFC) 	<ul style="list-style-type: none"> Review of documents Interview relevant IA staff (UNDP/UNEP/UNIDO/WB HCFC)
Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?			
<ul style="list-style-type: none"> To what extent have the project objectives and outcomes, as set out in the Project Document, project's Logical Framework and other related documents, been achieved? 	<ul style="list-style-type: none"> Completion of HCFC Phase-out strategy outlines for 8 participating CEITs within project time frame; Identification of enabling and investment projects in strategy guidelines eligible for GEF co-financing and/or international grant financing; Development of cost-estimated investment sub-project preparation materials for introduction of alternatives to HCFCs and where applicable HFCs; 	<ul style="list-style-type: none"> UNDP/UNEP/UNIDO/WB HCFC Phase-out strategy documents; UNDP/UNEP/UNIDO/WB HCFC progress and other reports; Relevant IA staff (UNDP/UNEP/UNIDO/WB HCFC) 	<ul style="list-style-type: none"> Review of documents Interview relevant IA staff (UNDP/UNEP/UNIDO/WB HCFC)

	<ul style="list-style-type: none"> Measures for regional cooperation in HCFC phase-out among the CEITs; Comprehensive report on global holistic HCFC phase out scenarios and strategies; Report on possibilities for synergies with other chemicals MEAs. 		
<ul style="list-style-type: none"> Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place at project entry 	<ul style="list-style-type: none"> Relevant international conventions and protocols ratified; An identified government ministry has oversight on ODS matters; National ODS focal points in place and functional; National expertise available to carry out surveys and work with international counterparts; 	<ul style="list-style-type: none"> UNDP, UNIDO HCFC Phase-out Strategy outline and related project documents Ozone Secretariat reports; Responsible IAs for MSP (UNDP, UNIDO) 	<ul style="list-style-type: none"> Review documents; Interview relevant UNIDO, UNDP, Ozone Secretariat staff
<ul style="list-style-type: none"> What are the underlying factors beyond the project's immediate control and to what extent they have influenced outcomes and results? How appropriate and effective were the project's management strategies for these factors. 	<ul style="list-style-type: none"> Implementation issues – ability/failure to execute or complete planned components of project; 	<ul style="list-style-type: none"> UNDP, UNIDO HCFC Phase-out Strategy outlines and related project documents and progress reports (PIR, PIMS); Relevant IA staff (UNDP/UNEP/UNIDO/WB HCFC) 	<ul style="list-style-type: none"> Review of documents Interview relevant IA staff (UNDP/UNEP/UNIDO/WB)
<ul style="list-style-type: none"> Were the assumptions made by the project right and what new assumptions that should be made could be identified? 	<ul style="list-style-type: none"> Availability of local resources and data in the relevant national sectors Quality of reporting and scope of controls achieved to date Full access to key persons of relevant sectors and veracity in reporting. Free exchange of information and expertise between countries Availability of GEF funds (US\$ 590,000) plus co-financing in kind from participating countries and UNIDO (US\$ 185,000); Complete and up-to-date information 	<ul style="list-style-type: none"> UNDP, UNIDO HCFC Phase-out Strategy outlines and project documents and related progress reports (PIR, PIMS); Relevant IA staff (UNDP/UNEP/UNIDO/WB) 	<ul style="list-style-type: none"> Review of documents Interview relevant IA staff (UNDP/UNEP/UNIDO/WB)

	<p>contained within source materials, which can be complemented with more specific regional/national data from the HCFC surveys (Sub-project 1 of UNDP and UNIDO) for better understanding of the impact of HCFC phase-out on the global effort in reducing emissions of global warming gases (Sub-project 2);</p> <ul style="list-style-type: none"> • Full access to relevant authorities in participating countries for activities leading to preparation of a document that provides better understanding of possibilities for synergies with MEAs of other chemicals in the control and phase out of HCFCs as well as better understanding of needs for capacity building. 		
<ul style="list-style-type: none"> • Were the project budget and duration planned in a cost-effective way? 	<ul style="list-style-type: none"> • Project budget breakdown and analysis made and shared with participating IAs; • Project work plan prepared, shared, reviewed and agreed with participating IAs 	<ul style="list-style-type: none"> • MSP Project proposal document, PIRs; • Responsible IA staff (UNDP, UNEP, UNIDO and WB). 	<ul style="list-style-type: none"> • Review documents; • Interview responsible staff.
Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?			
<ul style="list-style-type: none"> • How useful was the logical framework as a management tool during implementation and any changes made to it? 	<ul style="list-style-type: none"> • Structured identification of sub-projects; • Activities planning and management; • Identification of outcomes, outputs and related activities; • Effective use as reference material for project implementation; • Effective use as general monitoring and evaluation tool. 	<ul style="list-style-type: none"> • Project documents, including follow-up documents; • Progress reports (PIR, PIMS) • Project consultants (UNDP, UNIDO) • Project staff (UNDP, UNIDO) 	<ul style="list-style-type: none"> • Review documents; • Interview relevant staff and consultants of IAs (UNDP and UNIDO)

<ul style="list-style-type: none"> • Were the risks identified in the project document and PIRs the most important and the risk ratings applied appropriately? 	<ul style="list-style-type: none"> • Monitoring of trends in some countries toward increasing consumption; • Assessment of country level commitment to HCFC phase-out measures; • Assessment of regional and global market influences, particularly availability of cheap HCFCs; • Impact of implementation of mitigation measures based on coordinated regional approach to developing phase out strategies; • Impact of implementation of mitigation measures based on consideration of global dynamics of the HCFC issue and synergies with climate change and sound chemicals management issues. 	<ul style="list-style-type: none"> • UNDP, UNIDO Strategy outlines and project documents and related progress reports (PIR, PIMS); • Reports of Ozone Secretariat 	<ul style="list-style-type: none"> • Review documents; • Interview relevant staff and consultants of IAs (UNDP and UNIDO)
<ul style="list-style-type: none"> • How and to what extent have project implementation process, coordination with participating stakeholders and important aspects affected the timely project start-up, implementation and closure? 	<ul style="list-style-type: none"> • Project endorsements by participating governments; • Development and use of unified format for data collection; • Designation and effective use of coordination groups e.g. steering committee; • IA implementation modality, e.g. UNDP's national implementation structure using National Ozone Office or equivalent; • Stakeholders workshops before and during project implementation. 	<ul style="list-style-type: none"> • UNDP, UNIDO HCFC Phase-out Strategy outlines and project documents and related progress reports (APR/PIR, PIMS); • Project staff (UNDP, UNIDO) 	<ul style="list-style-type: none"> • Review documents; • Interview relevant staff of IAs (UNDP and UNIDO)
<ul style="list-style-type: none"> • Do the outcomes developed during the project formulation still represent the best project strategy for achieving the project objectives? 	<ul style="list-style-type: none"> • Outcomes realized by subprojects: <ul style="list-style-type: none"> (i) National HCFC strategy outlines for CEIT countries to give guidance on measures for HCFC phase-out; (ii) A better understanding of the global environmental impact of HCFCs; (iii) Better understanding of possibilities for 	<ul style="list-style-type: none"> • HCFC Phase-out Strategy outlines (UNDP, UNIDO); • Follow-up and other related documents; • UNDP, UNIDO Project staff; 	<ul style="list-style-type: none"> • Review documents; • Interview relevant staff of IAs (UNDP and UNIDO)

	synergies for control and phase out of HCFCs and of needs for capacity building.		
<ul style="list-style-type: none"> How have local stakeholders participated in project management and decision-making? What are the strengths and weaknesses of the approach adopted by the project? What could be improved? 	<ul style="list-style-type: none"> National/sector stakeholder workshops/meetings and level of participation; Technical discussions and information from medium and large enterprises' Interaction with trade and industry associations Interaction with governmental organizations (e.g. customs authority) 	<ul style="list-style-type: none"> HCFC Phase-out Strategy outlines (UNDP, UNIDO) and follow-up documents; UNDP, UNIDO Project staff and consultants; National focal point 	<ul style="list-style-type: none"> Review documents; Interview relevant staff of IAs and IA consultants (UNDP and UNIDO) Interview representative of NFPs.
<ul style="list-style-type: none"> Does the project consult and make use of skills, experience and knowledge of the appropriate government entities, NGOs, community groups, private sector, local governments and academic institutions in the implementation and evaluation of project activities? 	<ul style="list-style-type: none"> Use of existing institutional and networking facilities (e.g. National Ozone Focal Points) established from previous ODS phase-out projects; HCFC Surveys based on use of teams of national experts; HCFC Surveys based on interaction with prospective stakeholders of all sizes (small/medium/large). 	<ul style="list-style-type: none"> HCFC Phase-out Strategy outlines (UNDP, UNIDO) and follow-up documents; UNDP, UNIDO Project staff and consultants; National focal point 	<ul style="list-style-type: none"> Review documents; Interview relevant staff of IAs and IA consultants (UNDP and UNIDO) Interview representative of NFPs
Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?			
<ul style="list-style-type: none"> Was project sustainability strategy developed during the project design? 	<ul style="list-style-type: none"> Identification of sources of potential risks to project sustainability; Prescriptive approach to mitigation of identified risks. 	<ul style="list-style-type: none"> HCFC Phase-out Strategy outlines (UNDP, UNIDO) and follow-up documents; National focal point 	<ul style="list-style-type: none"> Review documents; Interview representative of NFPs
<ul style="list-style-type: none"> How relevant was the project sustainability strategy? 	<ul style="list-style-type: none"> Extent of ability of countries to maintain scheduled phase-out and good standing as Parties to Vienna Convention and Montreal Protocol; Ability of countries to meet 	<ul style="list-style-type: none"> HCFC Phase-out Strategy outlines (UNDP, UNIDO) and follow-up documents; Ozone Secretariat data and related reports; 	<ul style="list-style-type: none"> Review documents (UNDP, UNIDO, Ozone Secretariat); Interview of relevant Ozone Secretariat staff (as necessary)

	environmentally sound development goals.	• Implementation Committee recommendations and reports	
<ul style="list-style-type: none"> • Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood of financial and economic resources not being available once the GEF assistance ends (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)? 	<ul style="list-style-type: none"> • Government commitment and endorsement of HCFC phase-out outlines and follow-up strategies and plans; • Enterprise (stakeholder) commitments through co-financing in cash and/or in kind. 	<ul style="list-style-type: none"> • HCFC Phase-out Strategy outlines (UNDP, UNIDO) and follow-up documents; • UNDP, UNIDO Project staff (as necessary). 	<ul style="list-style-type: none"> • Review documents; • Interview relevant staff of IAs (as necessary) (UNDP and UNIDO)
<ul style="list-style-type: none"> • 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/benefits be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there a sufficient public/ stakeholder awareness in support of the long term objectives of the project? 	<ul style="list-style-type: none"> • Government commitment and endorsement of HCFC phase-out strategy outlines and follow-up strategies and action plans; • Country/stakeholder ownership through government (NFP) and stakeholder participation in HCFC phase-out strategy and project development and co-financing; • Public and stakeholder awareness, particularly of costs and benefits of HCFC phase-out alternative technologies. • Regional and/or sub-regional networking, particularly with regard to HCFC phase-out. 	<ul style="list-style-type: none"> • HCFC Phase-out Strategy outlines (UNDP, UNIDO) and related follow-up documents; • Progress reports; • Relevant IA staff and consultants (UNDP, UNIDO); • UNEP OzonAction Regional office. 	<ul style="list-style-type: none"> • Review documents; • Interview relevant UNDP and UNIDO staff and consultants • Review reports of regional network (Europe and Central Asia) and/or interview relevant staff of network team.
Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?			
<ul style="list-style-type: none"> • How has the project contributed to the reduced environmental stress and/or improved ecological status? 	<ul style="list-style-type: none"> • Strategic focus emphasising application of low GWP alternatives; • Exploration of cost effective measures to properly manage by-products of the production of HCFCs and stockpiles of unwanted CRCs; 	<ul style="list-style-type: none"> • HCFC Phase-out Strategy outlines (UNDP, UNIDO) and related follow-up documents; • Progress reports. 	<ul style="list-style-type: none"> • Review documents; • (Interview IA staff, if necessary).

	<ul style="list-style-type: none"> • Synergies with capacity development for POPs management; and • Nesting of ODS related activities into a country's framework for sound chemicals management. 		
<ul style="list-style-type: none"> • Are the project outcomes contributing to national development priorities and plans? 	<ul style="list-style-type: none"> • In-depth surveys of HCFC consumption/production completed successfully and HCFC consumption/production phase-out outline developed; • Country strategies for HCFC phase out being developed or developed for all participating countries in a manner that meets national development priorities and plans. 	<ul style="list-style-type: none"> • HCFC Phase-out Strategy outlines (UNDP, UNIDO) and related follow-up documents; • Progress reports • IA staff (if necessary) 	<ul style="list-style-type: none"> • Review documents; • (Interview IA staff, if necessary)
<ul style="list-style-type: none"> • Do the outcomes developed during the project formulation still represent the best project strategy for achieving the project objectives? 	<ul style="list-style-type: none"> • Development of cost-estimated investment sub-project preparation materials for introduction of alternatives to HCFCs and where applicable HFCs; • Incorporation of Energy efficiency aspects into HCFC phase out strategies; • Country reporting on national activities to the Ozone Secretariat as required under the Montreal Protocol. 	<ul style="list-style-type: none"> • HCFC Phase-out Strategy outlines (UNDP, UNIDO) and related follow-up documents; • Progress reports; • Ozone Secretariat reports mandated by the MOP to Montreal Protocol. 	<ul style="list-style-type: none"> • Review documents; • Interview relevant Ozone Secretariat staff (if necessary).

ANNEX 6.1

GEF/UNDP/UNEP/UNIDO/WB MSP PROJECT: Preparing for HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs

EVALUATION QUESTIONS TO IMPLEMENTING AGENCIES

RESPONSES FROM UNDP

Summary

Development objective:

Protecting the stratospheric ozone layer while not contributing to climate change.

Overall Project Objective:

- (i) Development of HCFC phase-out strategies for CEIT region (7 countries¹³);*
- (ii) Highlighting cost estimates for HCFC phase-out;*
- (iii) Identifying potential overlap with future work and strategic objectives of other GEF focal areas (Re: Dec. X/16¹⁴)*

Expected results of the project (Immediate objective of MSP):

UNDP and UNIDO Component: To develop National Strategy outlines for phase-out of HCFCs in the participating (eight) CEIT countries. (UNDP: 4 countries; UNIDO: 3 countries)

World Bank Component: To investigate the global environmental impact of HCFCs phase-out under the Montreal Protocol taking into account the global efforts in reducing GHGs.

UNEP Component: Study to examine possibilities for synergies with other chemicals MEAs.

1. How has inability of UNEP and the World Bank to complete their studies affected the achievement of the expected results?

Comprehensive studies would have been helpful, with respect to the UNEP component on synergies, for instance with respect to GWPs UNDP had pilot programmes for foam technologies, and some of those such methyl formate were proposed for implementation in some programmes in Ukraine. On top, some countries such as Tajikistan were promoting natural cooling techniques in refrigeration servicing sectors for cellular network companies – UNDP had proposed to demonstrate such in terms of the follow-up investment projects.

How relevant were the two components to the achievement of the overall objectives?

For the World Bank component, there were studies by UNEP for instance - UNEP Synthesis Report: HFCs - A Critical Link in Protecting Climate and the Ozone Layer, 2011. This is to say that there were other parallel initiatives, inclusive UNDP pilot programmes some of them are still ongoing.

¹³ 7 countries, excluding Bulgaria.

¹⁴ Decision X/16. Implementation of the Montreal Protocol in the light of the Kyoto Protocol adopted at the 10th MOP to the Montreal Protocol.

Is the non-execution of the two components likely to affect the outcomes of the overall project in any negative way?

Assessments on continuous HCFC equipment supply have been made based on assumptions for its global production in light of imminent HCFC production controls – increased supplies at cheap price were expected. This was confirmed by some countries – Uzbekistan, Tajikistan, and the accumulation of such equipment will lead to consumption bubbles in future.

Given the understanding of issues and work involved at the time, were these components of the project practicable and feasible within the project's timeframe?

UNEP component, in UNEP's understanding, was dependent on results of UNDP survey work which was delayed in some cases. Managing many countries is not possible with same pace, so the actual character of the project did not allow for harmonization of the progress.

2. Were the project's (PIMS 3597) objectives and components clear, practicable and feasible within the project's timeframe? (**Original Project Time Frame:** July 2008 to December 2009)

In some countries with information available and dynamic project teams, objectives were practicable. In some others, such as Ukraine with weak institutional structure, no detailed survey of servicing sector was at all possible due to lack of time, low responsiveness on licensing system.

3. What are the underlying factors beyond the project's immediate control and to what extent they have influenced outcomes and results? How appropriate and effective were the project's management strategies for these factors. (e.g. *implementation issues, availability of expertise, logistical issues financial resources*)

- Existence of qualified NOUs
- Ongoing institutional changes
- Data access and time required

4. To what extent have the project objectives and outcomes, as set out in the Project Document, project's Logical Framework (*Copy attached for easy reference*) and other related documents, been achieved?

- Outcome I for UNDP was achieved. Instead of outlines, full drafts of HCFC phase-out strategies were developed for Bulgaria, Uzbekistan, Tajikistan, and Belarus

5. Were the assumptions made by the project right and what new assumptions that should be made could be identified?

Some of the assumptions may be presumed to be:

- Availability of local resources and data in the relevant national sectors; - *correct*
- Quality of reporting and scope of controls achieved to date; - *correct*
- Full access to key persons of relevant sectors and veracity in reporting; - *correct*
- Free exchange of information and expertise between countries; - *not relevant at that stage*
- Availability of GEF funds plus co-financing in kind from participating countries; - *correct*
- Full access to relevant authorities in participating countries. - *correct*

Institutional changes were not mentioned at that time.

How did these assumptions actually play out?

Correctly

6. Were the project budget and duration planned in a cost-effective and mutually beneficial way?

(Project work plan prepared, shared, reviewed and agreed with all participating IAs?)

Initially there were intra-agency discussions, but implementation went individual ways due to individual mandates in separate countries. Consultations with UNEP were maintained.

7. What was the level of cooperation/collaboration among participating agencies in the:

Design of the project proposals (overall regional project and components)? –

Was done jointly with UNEP and World Bank with UNIDO joining at a later date when the project document's design was ready.

Implementation of the projects? – **Good level cooperation with UNEP in joint countries was maintained.**
Monitoring of the projects? - **N/A**

8. What would be your overall rating for the project's implementation, including interaction with the stakeholders?

*Your agency's component.- **Quality level, with complexities faced with different pace of data collection and non-compliance situation in Ukraine***

*The entire project. – **Main target for UNDP on HCFC strategies was achieved.***

9. What would be your overall rating for the project's coordination, management and partnerships, including your agency's role? What could be improved, if any?

Coordination happened with UNEP on regular basis. UNDP was assumed to have to lead the coordination which was not specifically described in the project document, no resources were provided for that function such as a project coordinator to be funded from project's budget. Annual reporting was initiated by UNDP though.

10. Lessons Learned?

Data collection moved with different pace that does not allow harmonization of approaches for other cooperating agencies whose outcomes depend on these outputs. Weak institutional capacities and regular Governmental changes are not supportive of project objectives and timely implementation. Overall, the project was delayed due to situation in Ukraine.

ANNEX 6.2

GEF/UNDP/UNEP/UNIDO/WB MSP PROJECT: Preparing for HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs

EVALUATION QUESTIONS TO IMPLEMENTING AGENCIES

RESPONSES FROM UNEP

Summary

Expected results of the project:

Development objective:

Protecting the stratospheric ozone layer while not contributing to climate change.

Overall Project Objective:

- (iv) Development of HCFC phase-out strategies for CEIT region (8 countries);
- (v) Highlighting cost estimates for HCFC phase-out;
- (vi) Identifying potential overlap with future work and strategic objectives of other GEF focal areas
(Re: Dec. X/16¹⁵)

UNEP Component: Study to examine possibilities for synergies with other chemicals MEAs.

11. How have project outcomes and strategies contributed to the achievement of the expected results?

Inability of UNEP to complete the desk study to examine possibilities for synergies with other chemicals MEAs.

How relevant was the project to the achievement of the overall objectives?

Is the non-execution of the component likely to affect the outcomes of the project in any negative way?

RESPONSE: The project strategy was rational, however outputs could not be completed and in turn, outcomes achieved due to:

- 1) Insufficient funding from the outset, which led to previously unexpected pooling of funds between UNEP and UNDP (UNEP providing funds to UNDP through MOU) to help execute national data collection on source resources, followed closely by:
- 2) Belated addition of UNIDO, which led to:
 - Concomitant redistribution of countries between UNDP and UNIDO; and
 - Need for return of funds from UNDP to UNEP to pass on to UNIDO so that they could complete the national surveys in the countries for which they were now responsible;

¹⁵ Decision X/16. Implementation of the Montreal Protocol in the light of the Kyoto Protocol adopted at the 10th MOP to the Montreal Protocol.

- 3) No return of funds nor release of technical information from UNDP until Spring 2011 to provide UNIDO with the funds owed them, and UNEP with the non-investment needs and other information in order to put together a synergies strategy. This coincided with UNDP as lead agency informing partners of the intention to close the project; as such there was no point for continuing on. In addition, UNDP was already submitting the follow on project from this activity as a single agency, using the information that they had gathered in countries.

But despite the less than optimal experience at agency (and perhaps country) level, if one evaluates from the perspective of benefits to countries, there are some successes. UNDP as a result of this project was able to submit a 2010 project (with \$9 million GEF Trust funding, \$12.3 million in co-finance) for the countries for which it was responsible (Belarus, Tajikistan, Uzbekistan, Ukraine). So the initial investment of \$745,000 used for this initial UNDP/UNEP/WB/UNIDO project did indeed yield results, and leverage national funding in support of HCFC phase out.

12. Were the project's objectives and components clear, practicable and feasible within the project's timeframe?

Original Project Time Frame: July 2008 to June 2009

Given the understanding of issues and work involved at the time, was this component of the project practicable and feasible within the project's timeframe?

RESPONSE: the original formulation of the project was reasonable, but the aforementioned amendments in terms of added agencies, the low final GEF support provided, and the inability to have a funded project manager led to a breakdown in coordinated implementation. It was particularly keen because some outputs were set up to cascade into others. Thus lack of completion of one output hindered completion of those next in the chain. Given the number of agencies, and the problems of changing government endorsements etc, all immediately voided the original timelines set.

13. What are the underlying factors beyond the project's immediate control and to what extent they have influenced outcomes and results? How appropriate and effective were the project's management strategies for these factors.

Implementation issues – ability/failure to execute or complete the planned component of the project

Could the following issues have affected the implementation of the UNEP component of the project?

Availability of expertise outside the agency (nationally and internationally)

Logistical issues (communication, travel, etc)

Financial resources and incentives

Availability of time

How relevant is this component of the Project on a scale of 2-1?

RESPONSE: as discussed, lack of finances was the starting issue, amplified by the number of agencies forced into the project. UNEP attempted to mediate the financial pinch by pooling its funds with UNDP and UNIDO for national activities, to no avail. UNIDO led the contribution of a data collection template to unify data as it was submitted, and shared. However in the end UNDP did not share data with the other agencies until the time at which it as lead agency planned to close the project.

14. To what extent have the project objectives and outcomes, as set out in the Project Document, project's Logical Framework and other related documents, been achieved?

Beside report on synergies with other Chemicals MEAs, UNEP's assistance in the project implementation included the following. How significant were these activities?

Training at national level; Workshops/training at sub-project/enterprise level.

RESPONSE: See previous comments on UNEP pooling funds with the other investment agencies. Note that training was not the intent of the project, but rather to contribute to the generation of National (Phase Out) Strategy Outlines. UNEP would follow UNDP and UNIDO in the exercise, so that as they were collecting their investment-related data, there would be gathering of data of training needs, and design of appropriate training strategies to complement investment aspects. Thus it was expected raw information would be fed back to UNEP and appropriate non-investment components, strategies etc designed with relevant agencies and countries to feed into the comprehensive National Strategy Outlines. So as planned, activities would have been significant...and though the synergies section was not completed, sufficient data was gathered for the UNDP countries to permit generation of a follow-on project. The synergies component had the potential, however, to provide a strategy for generation of longer term funding at national level, as well as to make a better cohesion of climate and ODS legislative and regulatory processes.

15. Were the assumptions made by the project right and what new assumptions that should be made could be identified?

In terms of UNEP component project, the submission of the proposal presumes:

- *Availability of local resources and data in the relevant national sectors;*
- *Quality of reporting and scope of controls achieved to date;*
- *Full access to key persons of relevant sectors and veracity in reporting;.*
- *Free exchange of information and expertise between countries;*
- *Availability of GEF funds plus co-financing in kind from participating countries;*
- *Complete and up-to-date information contained within source materials, which can be complemented with more specific regional/national data from the HCFC surveys (Sub-project 1 of UNDP and UNIDO);*
- *Full access to relevant authorities in participating countries for activities leading to preparation of a document that provides better understanding of possibilities for synergies with MEAs of other chemicals in the control and phase out of HCFCs as well as better understanding of needs for capacity building,*

How did these assumptions actually play out? How might that have affected the decision to drop the project?

RESPONSE: previous comments describe how things played out in actuality.

16. Were the project budget and duration planned in a cost-effective way?

Were the project budget and duration planned in a cost-effective way?

Project work plan prepared, shared, reviewed and agreed with participating IAs?

RESPONSE: See previous comments

17. What was the level of cooperation/collaboration among participating agencies in the:

Design of the project proposals (overall regional project and components?)

Implementation of the projects?
Monitoring of the projects?

RESPONSE: There was a lack of transparency, and (apparent) concern from UNDP in finding solutions and/or alleviating the problems the other agencies were encountering.

18. What would be your overall rating for the project's implementation (UNEP's component)?

RESPONSE: HU –Highly unsatisfactory.

Lessons Learned

- 1) There should be a realistic discussion of resource needs, and agreement between agencies, countries and donors that levels of funding provided are realistic. Sometimes it is better to not start an activity if resources are unrealistic.
- 2) In setting resource allocations, the experience of agencies and experts on the ground should not be discounted by the donor.
- 3) Projects should not be re-configured by the donor without careful consideration of the impacts on agency coordination and country-agency relations.
- 4) Two to three agencies per project should be the limit for any project. Smaller projects (as this one was an MSP) should not have more than 2 agencies, with clear delimitation of comparative advantage (to prevent "turf" issues).
- 5) Lead agencies should lead, and recognize that the success of all in the partnership, and, more importantly, the countries they serve, is important.

ANNEX 7

Final Evaluation of the GEF/UNDP/UNEP/UNIDO/WB MSP Project “Preparing of HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs” (GEF ID: 3597)

(Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan)

Comments by the Implementing Agencies and Responses of the Evaluation Consultant Introduction

1. This annex provides comments made by the Implementing Agencies on the draft evaluation report and the subsequent revised draft. UNEP and UNIDO made formal comments by e-mail (with or without attachments) on the draft report circulated by UNDP. The comments by UNEP and UNIDO representatives and the responses of the consultant are attached to this document as Annex 7.1 and Annex 7.2 respectively. UNEP’s comments are summarized (in Annex 7.1) as they were mostly embedded in e-mails, in the case of UNIDO they were presented in their entirety with responses made paragraph by paragraph as submitted.

Issues Raised in Comments

A. UNEP

2. UNEP’s comments mainly related to a paragraph in Section 3.3(a) of the report “Implementing Partner implementation/execution coordination” where suggestions about possible role for UNEP had been made as shown in italics in the paragraph below, quoted from the report:

“Although UNEP had to transfer its share of the country-level funds to UNDP and UNIDO, probably *UNEP should not have been involved in any national level role* at the onset since it was primarily data collection and outline phase. UNEP’s participation would have added value only at the subsequent stage of preparing the full scale HCFC strategies, where data were already available and UNEP could play its traditional role of mobilizing and networking the participating countries to enhance institutional capacity and achieve a regional objective. In any case there was no second phase as the outlines evolved into full sized projects.”

3. Following further review of the report and related documents the issue was resolved with inclusion of paragraphs that defined the role UNEP was expected to play in line with the project proposals and other related terms of reference as well as texts that clarified the original intent of the above-quoted paragraph.

4. The comments of UNEP representatives and relevant responses are presented in Annex 7.1.

B. UNIDO

5. UNIDO’s representative raised a number issues which have been addressed by the consultant in Annex 7.2. These issues included information in the report that certain relevant information on some partner countries requested by the consultant had not been presented. The consultant

invited the representative to resubmit the documents, but no further correspondence was received.

6. Another significant issue was UNIDO's preference for presenting two proposed recommendations (quoted below) as "lessons learned" instead of recommendations.

"The GEF may wish to consider not endorsing in future multi-national group or regional projects where the participating countries have dissimilar ODS consumption patterns or industrial structure and/or are not countries with contiguous national boundaries.

The GEF may wish not to endorse national or multi-national projects that involve two or more implementing agencies unless the agencies involved have information indicating agreement on the division of responsibilities, including the role of monitoring of the project. It should also be evident that adequate funds are available for project's management, including monitoring and evaluation."

7. Although there were no other similar comments, following further review of the report a new recommendation, as in the text below, has been inserted in the final draft while the two original recommendations have been included in "Lessons Learned".

"Given the status of ODS phase-out globally and in the CEITs in particular the need for a similar regional ODS phase out project in future may not arise. However should the need for endorsing a similar regional project proposals arise in future the GEF Secretariat in its consideration of such project proposals, may wish to take into account the lessons learned in connection with the development and implementation of this medium scale regional project, including issues relating to involvement of multiple agencies, the potential need for formal joint implementation agreements/arrangements, the effect of national ODS consumption and socio-economic disparities, limitations imposed by geographical locations of countries involved and the need for adequately funded autonomous management/monitoring unit."

8. The detailed comments and responses of the consultant are presented in Annex 7.2

ANNEX 7.1

Final Evaluation of the GEF/UNDP/UNEP/UNIDO/WB MSP Project “Preparing of HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs” (GEF ID: 3597) (Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan)

Comments of UNEP and Responses of the Evaluation Consultant

Introduction

Ms. Christine Wellington-Moore, Programme Officer at STAP who was the UNEP Programme Officer in charge of UNEP’s participation in the regional MSP at the time of the project’s design and implementation interacted with the Evaluation Consultant on behalf of UNEP during the evaluation exercise by e-mail and by Skype and provided comments on the draft report. Her comments were supported by Ms. Maryam Niamir-Fuller, Director of GEF Coordination Office at UNEP through an e-mail message. The comments were considered by the consultant during the review of the draft report and reflected in the revised report.

The relevant revised sections of the revised draft report were circulated for further review by the representatives of the agencies. However, at the time of the circulation of these sections of the report Ms. Wellington-Moore was on vacation and Ms. Niamir-Fuller provided additional comments which were also taken into account in completing the final draft.

Summary of the comments

The UNEP representative commended the consultant on putting together a thorough evaluation of the project, and careful use of information conveyed in the course of his work. She expressed appreciation for including UNEP in the evaluation exercise, and hoped that it contributes to substantive improvements in GEF and interagency work. She made some observations particularly relating to “views expressed that UNEP should not have been involved in the national level work” which she wanted added to the text.

She observed as follows:

“Given the fact that right before (and slightly overlapping with) this project UNEP and UNDP had successfully collaborated in precisely such a manner gathering data, and designing and executing MB phase out in pre- and post-harvest applications in CEITs (mostly those that were preparing for EU accession). This project received HS and S ratings in all countries upon independent evaluation through the GEF Evaluation Office. UNEP was lead in this case, and the coordinating skills of UNEP to which mention is made in this evaluation, as well as its role as implementing agency of several of the Institutional Strengthening projects of the countries involved (as was the case in the HCFC project), is what facilitated work on the ground, including finding solutions with the governments when there were procurement issues for UNDP, or technical collaboration problems with FAO.

The thing of note is that adequate resources were provided by the GEF for that project. Still, there was also a good history of collaboration on the older CFC projects, and as you mentioned the ECA Networks are of great assistance. Therefore, rather than simply state UNEP should not operate in single countries, I would actually state that given the specific background of this project (particularly the plethora of agencies involved), the low level of funding provided, and the unexpected difficulties in the scope of data collection required, then it was impossible for UNEP to partner as it has done successfully in the past with the lead agency(ies). That to my mind is a truer representation, and it can be backed by past collaborations for other phase out efforts.”

CONSULTANT’S RESPONSE: Regarding UNEP's role in the MSP, in particular that part that deals with Component A, it appears that I made an attempt at brevity at the risk of comprehension or clarity of the message. ... Following your comments I have revisited the report and revised the relevant sections in a way that, ... represents more clearly the views I wished to express. The relevant sections of the main report and the executive summary have been revised based on the attached text. Please see the last paragraph of the section below (UNEP Comments on the Revised Text).

UNEP Comments on the Revised Text

Due to lack of time a short deadline was given for any additional comments on the revised text. Ms. Naimir-Fuller responded with additional comments in the absence of Ms. Christine Wellington-Moore who was on vacation and could not be reached for comment.

In her follow-up comments she welcomed the revised text adding that the conclusions appeared reasonable, considering the low funding available for the project. She again stressed UNEP's capabilities in national level data collection stating that: UNEP has conducted and conducts many activities related to information collection at the national level. An entire division (DEWA) is responsible, for example, for developing the Global Environment Outlooks through national level data collection.

She concluded that in her view "at the time of design of the project, UNEP's role in component A ("data collection in cooperation with UNEP") could have been interpreted to mean that UNEP would do the secondary verification/validation of data collected (given its comparative advantage in having regional and global data at its disposal). For this purpose it did not need national level funds for data collection, but it would have needed funds for a scientific scrutiny of the national data collected. In hindsight, such clarity in roles and responsibilities would also have helped to ensure that the data was used by UNEP for the second stages of developing the phase-out strategies and other regional activities."

She suggested some changes to the revised text in "track changes". The revised text together with the track changes is attached as Appendix I to this Annex.

CONSULTANT'S RESPONSE: The suggestions or comments made in all the communications with UNEP's representatives have been reflected in the report to the extent possible.

APPENDIX I

Revised Texts Concerning UNEP and Suggested Changes
Implementing Partner implementation/execution coordination

127. According to the project proposal for the MSP, UNDP and UNIDO in cooperation with UNEP would first collect existing data from the participating countries ("desk studies"), carry out surveys using international and local consultants from which phase out strategies would be prepared for each country, recognizing regional trends and synergies. UNDP/UNIDO would focus on the investment projects requirements along with technical capacity development initiatives within the strategy, while UNEP would focus on "non-investment needs as well as coordinating the overall strategy-outline for each country and elaboration of regional facilitating initiatives". In this regard, an important activity in the proposal was "identification and elaboration of measures that may be undertaken at the regional level that would serve to link and facilitate phase out efforts in countries in the region (including Article 5 countries in the region) including:

Creation of an effective information exchange network for data on the trade of HCFC and other chemicals including HFCs with particular emphasis on validation of import and export transactions between countries in the region and elsewhere.

Development of a regional scientific and technical expertise network that will facilitate the exchange of information, experience and expertise related to HCFC alternatives.

Identification of regional training and technology transfer opportunities".

127 bis. This project appeared to draw on experiences from successful collaboration between UNEP and UNDP similar manner collecting data, and designing and executing MB phase out in pre- and post-harvest applications in CEITs. However, in terms of funding, UNEP was generally allocated 50% of the funds allocated to UNDP and UNIDO for each country, which in countries like Azerbaijan and Tajikistan amounted to only US \$12,500, to assist the two agencies in the country level activities. The proposed implementation modality in this instance did not and UNEP had to transfer its share of the country-level funds to UNDP and UNIDO, for them to solely carry out the country level activities thus contributing to the fragmentation of the regional implementation modality on the one hand and losing UNEP's comparative advantage in networking on the other.

127 ter. In order to have had optimal advantage of UNEP's participation, its data gathering capabilities notwithstanding, and given the funding shortage for this complex project, it should not have been involved in the initial data collection by the other two agencies, as its role appears to have been interpreted, but rather focused on data verification and post-collection activities. UNEP's participation would have added value at the subsequent

stage of preparing the HCFC phase-out strategy outlines/strategies, where data were already available and UNEP could play its unique role of mobilizing and networking the participating countries to enhance institutional capacity, coordinating among the agencies, and achieve the objective of “facilitating the elaboration of regional facilitating initiatives”. This could have obviated the situation where as there was no second phase the strategy outlines evolved into full sized projects “owned” solely by the two agencies dealing with investment projects and technical capacity development initiatives within the strategy with the resulting breakdown of the region-wide approach.

Conclusions

138. Another observation that could be made from hindsight is that, UNEP did not need to have a role in the national data collection phase because of the shortage of funds, and should not ordinarily have been allocated funds for that or national level activity at that time as the other agencies since such funding, in the scheme of things, would have been then premature. For UNEP to have been involved in the data collection with UNDP and UNIDO at the same time would not only have been a duplication of effort but not an optimal use of resources given the limited financial resources available to the project. UNEP's involvement belonged to the latter stages of the project's funding and implementation if the project had followed a step-wise approach, as was probably intended given the funding replenishment system. However, if it was administratively expedient to fund UNEP's activities at the initial stage as the other agencies it was necessary to clearly circumscribe, and for all the three agencies to have a clear understanding of, its “assisting” role. Under the circumstances UNEP had to transfer its allocation for implementing Component A of the MSP to UNDP for its participating countries which was not used and was transferred back to UNEP while its transfers to UNIDO, though used by UNIDO, incurred delays due to the administrative procedures involved and might not have fully achieved the desired results.

139. Thus, it would appear from hindsight that, for more effective use of the resources the funds that were allocated to UNEP for national level activities should have actually been allocated to the two lead agencies in the first place; then when the project had gone to the next stage of formulating the strategies and the follow-up FSPs UNEP should have been adequately funded to effectively participate in the non-investment and networking components both at the national and regional levels based on data fed to it by the other two agencies. Implementation of Component A of the project evolved in a different direction and in the end UNEP's part of that component's project funds became unutilized or ineffectively utilized due to late transfers while its more important coordinating and networking facilitating expertise became lost to the project's beneficiaries, both in its development and eventual implementation.

Suggested track changes made by Maryam Niamir-Fuller, Director, GEF Coordination Office, UNEP, Nairobi, Kenya to the revised text on UNEP in the final evaluation report on the MSP (in e-mail dated July 30, 2013).

This indeed was a key aspect that should have come out strongly so as to ensure inter-agency coordination.
Kindly edit the sentence?

The issue here is that UNEP could have been involved if the funding levels were adequate. Written the way it is, gives the impression that in principle UNEP should not have been involved.

UNEP could have had a data verification role, which from its regional and global vantage point would have been feasible. This would also have helped it to then capture and codify the information into the national and regional strategies

This sentence appears to go beyond the data collection issue. UNEP should have continued to have a role in helping to develop national phase-out strategies, so that they could have been synchronized at the regional level. (as you also note in the last paragraph).

In general, when agencies work on the same component of a project, there is an agreement to divide the countries so that such duplication does not occur. I do not know if this was the case (perhaps Christine can verify).

Agreed. See above.

If the role has been agreed to be a verification role, then the small funds allocated to UNEP in this component may probably have been sufficient.

Given the above, I hope you can revise this sentence.

ANNEX 7.2

Final Evaluation of the GEF/UNDP/UNEP/UNIDO/WB MSP Project “Preparing of HCFC Phase-out in CEITs: Needs, Benefits and Potential Synergies with other MEAs” (GEF ID: 3597)

(Azerbaijan, Belarus, Bulgaria, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan)

Comments by UNIDO and Responses of the Evaluation Consultant

1. Executive summary, project description (page 4): “However, delays, time and circumstances had a cascading effect on the project and although the regional and multi-thematic aspects of the project collapsed with the withdrawal of two of the implementing agencies, it has developed from strategy outlines in some of the countries to full sized projects (FSPs) and in others approved PIFs with several million dollars in funding from the GEF Trust Fund leveraged by over a hundred per cent as much funds in national governmental and private sector co-funding. Table ES.1 below shows a summary of financial resources mobilized for the countries through the project”.

Please note the title in the table ES.1 for project in Azerbaijan should be revised and read: “Initiation of the HCFC phase out in the Republic of Azerbaijan” (on page 5).

Response: The title in the table is consistent with the official title of the project as in the submitted PIF and also as displayed on GEF’s official website.

In addition, kindly note that the results and milestones achieved by UNIDO are measurable, it should be highlighted in the Report. As indicated in Table ES.1, projects in Azerbaijan (US \$ 9.17 million) and particularly for the Russian Federation (US\$ 59,8million) – these are great achievements and collection of data was also achieved accordingly.

Response: It is agreed that the achievements arising from all the follow-up activities were significant and they have been duly acknowledged in the report. However as it was pointed out in the report the focus of the evaluation was primarily on the subject: Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs, whose primary requirements based on the project logical framework (appearing in country profiles for participating countries on the GEF website) are data survey/collection and as a minimum preparation of HCFC phase-out strategy outlines. In this regard the assessments are consistent with information provided by both UNDP and UNIDO as well as that obtained from third party sources.

Also, with regard to the design of the Template that served as development of criteria for all participating countries by the IAs, the UNIDO’s assistance has been underestimated, as that was a substantial contribution to the smoothly implementation of the whole project (please emphasize also this in the section regarding the Replication Approach (item 3.1 (c) on page 29)).

Response: The paragraph on page 29 will be revised to reflect the role of the template in aiding replication of results, as follows. “In this regard the development of data collection template initiated by UNIDO played a major role towards replication of results of the MSP. The template was a subject of discussion at the workshop organized by UNIDO in Moscow in December 2007. It was adapted by UNDP to its method of data collection that involves...” Please note that neither the template nor a report of the workshop in Moscow was available to the Evaluator so detailed description of this activity was not possible. Also, discussion with UNDP’s consultant on the project reflects the latter part of the above quoted statement.

Please, also note that, in the case of Azerbaijan and Kazakhstan for which the outline documents were provided, some of the data results were incomplete or inadequate as explained later in this document.

2. Table ES.2: RMSP: Preparing for HCFC phase out in the CEITs Project Results and Rating (p.6) and detailed explanation on pages 7 and 8

With regard to the component A in Table ES.2 (particularly for the Russian Federation), the rating was underestimated. For Kazakhstan applies the same, it can not be that it was not rated due to insufficient information for the indicators, including impact; Please note that the focal points of the countries will not agree with the findings provided in this Evaluation Report

Response: The concerns about the ratings for activities in Azerbaijan, Kazakhstan and RF have been noted. As explained earlier the evaluation was not of amounts of dollars generated in projects per se but rather the work on the strategy document prepared by the country and related activities that will ensure national ownership which in turn would ensure the ability of a government to follow through the phase-out. The other aspect of the ratings is how information provided in PIRs and other monitoring documents is consistent with process and outputs as described in the outline and strategy documents presented for the evaluation.

It may be recalled that in his introductory communication the Evaluator invited UNIDO to present all relevant information or documentation that would facilitate informed evaluation, including data reports, mission and other reports and reviews as well as any relevant contact information. In response the following PIF documents were sent to me:

- *Phase-out of CFC consumption in the manufacture of aerosol metered-dose inhalers (MDIs) in the Russian Federation (No project ID);*
- *Introduction of ODS alternatives in agriculture and in post-harvest sector (Republic of Kazakhstan) (No project ID);*
- *Initiation of the HCFCs Phase out and Promotion of HFCs-Free Energy Efficient Refrigeration and Air-Conditioning Systems (Republic of Azerbaijan) (No project ID);*
- *Phase out of HCFCs and promotion of HFC-free Energy Efficient Refrigeration and Air-conditioning systems in the Russian Federation through technology transfer. (No project ID)*

Your attention was drawn to the fact that the first two documents were not relevant to the evaluation and that even though the other two were relevant the required documents were those relating to data surveys and preparation of strategy outlines or documents. Thereafter, after some delay the following two documents were sent:

- *Национальные исследования и разработка плана национальной стратегии поэтапного отказа от потребления ГХФУ в потребительских секторах Азербайджана;*
- *Программа поэтапного сокращения потребления озоноразрушающих веществ (гидрохлорфторуглеродов) в республике казахстан.*

(a) Russian Federation

As can be seen from the above lists the only documents received on the Russian Federation are the two PIFs one of which is not relevant to the evaluation. I had in my communication requested description of the status of activities in the RF as its PIF predated the completion date of the MSP as reported in the PIR. However, no response was received. In the case of the Russian Federation the only document that provided any indication of the status of the phase-out strategy document was from a power point presentation made by the representative of the Russian Federation to the Meeting of the ECA Regional Network of Ozone Officers which I obtained on request from the Regional Coordinator after the meeting ended on 23 May 2013.

For Azerbaijan and Kazakhstan the following summarizes the Evaluator's observations on the documents listed above on the work on the strategy outlines and of the strategies themselves in the two countries.

(b) Azerbaijan:

- The document appears to be a draft and not a finished product, without a cover page and date of publication. (Five years after the project was approved in 2008, a document of such nature could be rated as **unsatisfactory** because it doesn't appear probable that the Government would make use of it in this form).
- Nearly three of the 5-page narrative that makes up the national study and plan describe CFCs and ODS that have already been phased out.
- HCFC consumption data is out of date and is provided for only one year, the **year 2006**, thus no consumption trend analysis was or could be made. This is in spite of the fact that HCFC consumption data have been reported to the Ozone Secretariat up to date, i.e. updated data are available.

- Although a table of annual import of air conditioners and domestic refrigerators from 2000-2007 is provided, the link of this information to HCFC consumption or demand is not apparent. It may be noted that domestic or household refrigerators in the main do not run on HCFCs. Therefore their import may not be a reflection of a country's HCFC demand or consumption. In any case data for 2002-2007 is obsolete, especially given that HCFC consumption began to rise after CFC import was banned in 2006.
- Most of about 30 tables annexed to the text are blank or incomplete, though some may be due to lack of information. However, the data, including consumption data is limited to average of 2005-2007. On the other hand this is probably to be expected as their completion may be subject to future surveys. As indicated in the PIF *"The survey carried out for the compilation of the PIF will be extended to the next level of detail and all participating enterprises and key stakeholders including importers, distributors and customs will be visited by local consultants under the direction of the Project manager and international consultant. After phase 1 of the data collection the international consultant will audit all significant HCFC consumers/suppliers to ensure consistency"*.
- The final table (sector-based data) shows average HCFC consumption for 2005-2007 of a total of 222.07 metric tonnes or 13.53 ODP tonnes with breakdown for HCFC-141b and HCFC-22. However, this information is not seen to have been applied in any part of the national study and plan, hence making its relevance or utility doubtful.
- More importantly, the proposed programme for the scheduled HCFC phase-out appears to be based on 2006 HCFC consumption since the baseline consumption (14.9 ODP tonnes) is neither included in the table or referenced in the text.

(c) Kazakhstan:

- The primary data is provided in ODP tonnes only. Since working data is always in metric tonnes the data should be in metric tonnes then converted to ODP tonnes. Otherwise assessment of material and financial needs will be made difficult, especially if considered by sector. The Ozone Secretariat requires that data be submitted in metric tonnes and then it is converted to ODP tonnes by the Secretariat itself;
- Although the Montreal Protocol HCFC phase out schedule for Article 2 countries is outlined, the country's targets for meeting the schedule is not clearly provided. Given that Kazakhstan is in non-compliance with the 2010 reduction requirement this omission ought to be addressed;
- Source data is not provided, e.g. importers by chemical and by quantity;
- Sector data provides population of equipment (refrigeration equipment, air conditioners etc). There is no link between the population of equipment and HCFC consumption.

Probably these data too are subject to future more in-depth survey as inferred from the Azerbaijan PIF, given that the PIF for Kazakhstan is now being prepared.

These comments were kept out of the report but the with the ratings that were assigned to the activities in these countries seem to the Evaluator to be consistent with the level and quality of activities bearing in mind activities outlined in the logical framework and work programme of the regional MSP that can be found in each country profile. Therefore, although the countries may not be satisfied with the ratings, UNIDO may wish to explain to those concerned that these ratings are consistent with the status of activities relating to the subject matter as presented to the Evaluator. In a few cases instead of possible rating of "U" or lower the rating has been given in a neutral manner as "N/A" no rating.

3. As to the Component A, There was very little substantive or regular interaction horizontally among functionaries of the two joint lead agencies for the Component A sub-project. The MSP was designed to be jointly implemented by UNDP and UNIDO as probably a model for regional projects, but the regional implementation modality collapsed, although UNDP continued to implement its sub-component as a group or regional project with a high degree of success (pages 8 and 9)

Our approach was also directed initially as regional, although the funds for Kazakhstan were reallocated at a later stage of implementation. However, we do agree that there was no coordination and cooperation among Agencies during implementation (as quoted "the regional implementation modality collapsed" **is quite strong expression**). Regular teleconferences were organised by the GEF from all IAs in the beginning of the project, and also too many countries involved, but we believe that this should be initiated and ruled by the lead Agency.

Response: Regional approach ideally would require a common document that at the minimum provides a summary of the basic characteristics of each participating country as well as activities that could be undertaken in the interest of the group of countries concerned. An example is the document developed for the other four CEITs (Belarus, Tajikistan, Ukraine and Uzbekistan) (*Initial Implementation of Accelerated HCFC Phase-out in the CEIT Region (Project ID 4102)*) Such approach would normally make information accessible to all participating countries and potentially promote awareness in all the countries of each other's progress, thus providing a medium for interaction and mutual learning from each other. No such common thread was observed for the UNIDO partner countries' activities. This is however, not to endorse the regional approach as an optimal option, but if for whatever reason the approach is not found suitable that could be made clear and upfront.

Your comments on coordination are noted. However where the "lead agency" is only a de facto lead agency (as it appeared in this instance) the effectiveness of the coordination would depend on the level of information that the partner agencies are willing to provide. For instance, if it had been the practice to provide copies of relevant documents to the "coordinating agency" there would have been much more ready access to essential information on all the countries, including Azerbaijan, Kazakhstan and Russian Federation than it has been.

4. Consequently the overall project achievement was rated as moderately satisfactory (MS).

The overall project achievement has been underestimated as well, due to the significant funding and efforts made by the IAs in this region (please see UNIDO's funds mobilization of US\$ 68,9 million in total. Additional explanation is provided in item #1 above in relation to the funds mobilized by UNIDO for Azerbaijan and Russian Federation from the GEF.

Response: The rating of MS reflects the composite rating of all three components of the MSP-01 project according to the logical framework, taking account of mixed achievement of component 1 as well as on-implementation of the other two components (B and C) and not the level of funds generated or will be potentially generated for the project.

5. The Recommendations to the GEF SEC on page 9:

5. The GEF Secretariat may wish to request the two lead agencies for Component A of the project (UNDP and UNIDO) to submit to the Secretariat the strategy outline documents prepared by all the participating countries, including Bulgaria as a way of ensuring that the information is made accessible to stakeholders who may need it. - **WE AGREE**
6. The GEF may wish to consider not endorsing in future multi-national group or regional projects where the participating countries have dissimilar ODS consumption patterns or industrial structure. As much as possible and/or are not countries with contiguous national boundaries. **WE DO NOT AGREE – THIS SHOULD SERVE AS LESSONS LEARNT** (it depends on the country needs and situation that might urgently need to be addressed)
7. The GEF may wish not to endorse national or multi-national projects that involve two or more implementing agencies unless the agencies involved have information indicating agreement on the division of responsibilities, including the role of monitoring of the project. It should also be evident that adequate funds are available for project's management, including monitoring and evaluation. **WE DO NOT AGREE – THIS SHOULD SERVE AS LESSONS LEARNT TO BE ADDRESSED IN FUTURE**
8. As UNEP's Europe and Central Asia Regional Network of Ozone officers remains a key forum for exchange of information and expertise among the Article 2 CEITs financial support to these countries for participating in the activities of the network should be continued throughout the lifetime of the HCFC phase out projects as a means of sustaining capacity building resulting from these projects. - **WE AGREE**
9. The GEF Secretariat and the implementing agencies (UNDP, UNEP, and UNIDO) may wish to work out possible modalities for joint support of the ECA network with the Multilateral Fund to enable the administrative resources of the network to be made available to the Article 2 CEITs for organizing activities dedicated to the needs of these countries. - **WE AGREE**

Response: Your comments have been noted. With regard to (b) and (c) the recommendations reflect the sentiments of some of the agencies involved. However, another look is taken at the language used in expressing these recommendations.

6. Also in Table 2 on page 17: Funds for Kazakhstan were transferred from UNDP to UNIDO as per letter on amendment in 2010. Additional related issues were pointed out, at one point it became necessary for UNEP to transfer funds to UNDP for the national level work that it should have undertaken. This created additional problems when it became necessary to transfer funds of a country that had switched to partner with UNIDO through UNEP indirectly to UNIDO (in item# 3.1 (d) on page 29).

Only the funds approved for Kazakhstan, were transferred from UNDP to UNIDO. Since the government endorsement letter of the Government of Kazakhstan was not correctly reflected during the approving process.

Response: The statement on page 29 refers to the additional amount of \$20,000 (for UNEP's national level activity component in Kazakhstan) which was initially transferred to UNDP and had to be later transferred to UNIDO back through UNEP and not the \$40,000 included in the UNDP portfolio for Kazakhstan which was transferred to UNIDO directly from UNDP by the MoU referred to in the document.

“UNIDO stated that due to changes to its computer software (from Lynx to Microsoft Exchange), access to the related documents of the MSP which were in the archives had become difficult. The PIFs for HCFC phase-out projects for Azerbaijan and Russian Federation were provided and later the strategy plan/outlines of Azerbaijan and Kazakhstan were added (p.14)”

7. The Beijing Amendment of 1999 extended control measures for HCFC to production with a freeze in production by 2004 at the baseline. As of 2005-2006 all the CEIT countries of Europe and Central Asia except Kazakhstan were Parties to the Copenhagen Amendment (Kazakhstan ratified the Amendment on 28 June 2011). While some of the CEIT countries were not able to be in compliance with the 2004 obligation and might not meet the 2010 obligations as well a few others could have difficulty maintaining their compliance (on page 15)

8. Table 4: Sample Format for Monitoring Implementation Progress and Progress Towards meeting developing objectives, Baseline level

Please see item # 1 regarding the template and kindly consider that the survey was done and regional measures recommendations were proposed and outline documents were provided for the targeted countries.

Response: Please note again that the evaluation was based only on information in documentation that the Evaluator received from the agencies themselves or from other sources. As mentioned before, outline documents were received (very late, in Russian) for Azerbaijan and Kazakhstan but not for the Russian Federation. However these documents did not have complete survey results as elaborated earlier, neither did they show any regional measures recommendations upon review.

Please also note that the template by itself does not constitute an output but a tool for achieving the planned outputs.

9. UNIDO provided outline documents for Azerbaijan and Kazakhstan but not for the Russian Federation (page 21)

UNIDO has provided all 3 outline documents, including RF.

Response: Please see above. In the case of the RF, while insisting that it was provided, it would have been more appropriate to attach to your comments a copy of the document to serve as confirmation that it was sent and also to save time should you wish to send it. **However you may wish to resend it.** If it had been sent with these comments it would have been possible to review it together with the comments and make any necessary changes to the evaluation report.

10. With regard to the PIF on Azerbaijan (item 74 on page 23)

Please note that the PIF was approved in March 2012 and the Request for CEO Endorsement will be submitted to the GEFSEC very soon. The GEF grant is US\$ 2,620,000, the end users US\$ 4,300,000, the Government in-kind contribution US\$ 2,200,000 and UNIDO grant contribution is US\$ 50,000.

The PIF draft document for Kazakhstan is also under preparation.

Response: Noted. After consulting the revised PIF for Azerbaijan on the GEF website, the figures have been revised accordingly.

11. The above-stated objectives of the UNIDO/GEF/Russian Ministry of Natural Resources project are consistent with those of the regional MSP for which the Russian Federation was granted US \$145,000 from GEF for its preparation in partnership with UNIDO. Hence this PIF and subsequent FSP emanating from it have been presented as additional outcomes for the Russian Federation potentially arising from the GEF/UNDP/UNEP/UNIDO/WB Regional MSP: Preparing for HCFC Phase-out in CEITs (page 24).

We would like to agree this statement with additional explanation that supports it, as the project has been developed in 2009/10 and currently is achieving excellent results and milestones.

12. Box#1 regarding PIF for Azerbaijan on page 25:

Kindly revisit the figures provided above (item # 10, total funding is US\$ 9,170,000).

Response: Please see the response above.

13. Part 3 on Findings, item # 83 and presenting data in Table 6 (page 26)

14. On pages 27 and 28, it is stated: "However the proposal was resubmitted on 28 March 2008 with UNIDO as additional implementing agency sharing with UNDP the task of conducting the HCFC surveys and preparing the strategy outlines. There was redistribution of the funds but no adjustments to implementing responsibilities regarding the phase out strategies in the Russian Federation, given the large volumes of HCFCs both from production and consumption in the country.

In the endorsement letter to the UNDP Resident Representative the GEF National OFF of the Russian Federation expressed the Ministry of National Resources' preference for a national phase out strategy and informed UNDP that completion of a proposal the Ministry was working on in cooperation with UNIDO was imminent, and recommended that UNDP as the lead Agency for the regional project conducts negotiations with UNIDO in order to establish cooperation and coordination among the projects. He added that the MNR was making its position known to UNIDO in order to avoid any duplication during the project preparation process and to agree on the most effective ways for their implementation.

Thus the MNR expected the agencies to cooperate and coordinate their activities regarding the Russian Federation's HCFC phase out obligations, given its broad scope. There have been several examples, such as in Brazil, India, China where agencies have collaborated to facilitate or expedite ODS phase-out programmes in situations similar to that of the RF. However there is no evidence of any activity between the two agencies that was aimed at achieving such collaboration since the regional MSP proposal submitted on 27 March 2008 was the same as the first without any structural changes even though the number of implementing agencies working on the strategies had increased with redistribution of the allocated GEF funds. As a result the HCFC phase out activities in the RF appears by default to be the responsibility of one implementing agency.

UNEP and UNIDO were involved in the project implementation in RF.

Response: This does not seem to be the case for the implementation of the MSP. Please clarify.

15. Regarding the issue that MSP lacked some key ingredients (item # 92, page 28)

- A formal agreement that spells out the roles and responsibilities of each organization and modes of interaction laterally and vertically. UNEP signed such a memo to establish a coordinating mechanism called Interagency Project Committee covering the countries for which UNDP was the IA. Such a memorandum among the four agencies could have been helpful, or in the least some formal arrangements or agreement between UNDP and UNIDO as co-lead agencies on modalities might have enhanced efficiency of the implementation of the regional programme. – **WE AGREE, BUT THIS SHOULD BE ROLE OF THE LEAD AGENCY**
- Funded management (and monitoring) unit that would also be a repository of information on the project for participating countries to promote information sharing. For instance, in spite of several requests the Evaluator did not receive any information on the three participating countries of UNIDO until very late in the process when a draft copy of the strategy outline for Azerbaijan in the original language (Russian) was received – **Access to documents of completed projects, is time consuming, since the files are in the archive. The project is 5 years old.**

Response: Time should not invalidate such reference national documents. Since they are national documents should it not have been possible to either access copies from the governments concerned or to request the responsible national authorities to provide copies either directly or through UNIDO to the Evaluator?

- Mechanism for the exchange of information among agencies, their experts and the stakeholders. Interviews showed that there was very little of such exchange – **WE DO AGREE THAT WE WOULD NEED TO IMPROVE JOINT IMPLEMENTATION MODALITIES IN THE FUTURE**

Response: Noted.

- Funded forum, such as periodic workshops, for exchange of experiences, information, and other activities of common good. Due to limited budget, except in the margins of network meetings no formal meetings or workshops appear to have taken place among all seven countries - **WE don't fully agree. GEF has organised a Lancing Meeting during (as a side event) during the MOP meeting in Bangkok. Also regular teleconferences were organised by the GEF from all IAs. Later on the practice was discontinued. But one or two UNDP/UNIDO meetings took place in Vienna.**

Response: This refers to formal meetings among all seven or eight CEITs. Teleconference may not be an appropriate medium of interaction among all the seven countries at the same time, given the communication difficulties. The IAs have several opportunities to communicate with each other.

16. Project Implementation (item # 17, page 29)

With significantly large amounts of HCFCs in production and consumption in Russia the country's HCFC phase out priority seemed to be that of developing national rather than regional programmes to meet the accelerated HCFC phase out schedule. Thus the implementation of the principal component (Component A - preparation of phase out strategies) of the MSP which eventually became the project by default when both the World Bank and UNEP withdrew from implementation of Components B and C respectively, became fragmented. The review of documentation on two outcomes presented to the Evaluator by UNDP and UNIDO appears to show some divergence in the approaches to eventual HCFC phase out. While UNDP follows the procedures described in the project's logical frame, UNIDO's approach, based on the information provided, appears to skip the strategy development to the full scale project. The approaches are illustrated in the figures below in Box # 2 on page 2

The development of FSP was based on the outline document and the development strategy. The only diffidence was the UNIDO was able to complete the strategy development for RF much faster comparing to other countries.

Response: Unfortunately no information that confirms this statement was provided.

17. Most of the Ozone units, such as in Kazakhstan enjoy strong support from their line Ministries and play effective coordinating role for the public and private sector stakeholders, including domestic/commercial and industrial refrigeration equipment producers, maintenance and servicing organizations and technicians, foam producers, traders and HCFC end users. In a couple of countries (Ukraine and Azerbaijan) lack of stable unit or non-existent unit made cultivation of such partnerships initially difficult resulting in delays in initiating activities.

Kindly consider that there was transition from the NOU to CCOC administrative arrangements in the Republic of Azerbaijan, so there were some challenges during the implementation phase. However, the PIF for Azerbaijan has been approved, the PPG implemented and the Request for CEO Endorsement was developed so that we could provide strong support to CCOC and to institutional arrangements in the Republic of Azerbaijan soon.

18. Table on allocation and utilization of GEF funds (page 31) and on table 7 (B) on page 32

Please revisit the figures regarding UNIDO and include additional US\$ 40,000 for Kazakhstan (total of US \$ 210,000)

Response: Noted

19. Section 3.2. (d) on M & E , Annual Project Reviews (APRs) and Project Implementation Reports (PIRs) were issued by UNDP in 2010, 2011 and 2012 to report on progress and related issues of the project's implementation for the previous year ending on June 30. PIRs were compiled based on the inputs received from partner agencies. Since UNEP and World Bank got their components of the project closed UNIDO was the only agency that had to report substantive information on progress of the work on the data surveys and related activities (page 33)

The fact that UNIDO was the only agency that had to report substantive information on progress is contradicting with Table 8.

Response: There is no contradiction. The statements in paragraph 19 above are only statements of fact or responsibilities of the IAs in the monitoring process. It indicates that with UNEP and the World Bank out of the picture only UNIDO was obliged to make substantive progress reports which in some cases (RF), as indicated in Table 8, the relevant document that would have confirmed the reported actions, was not provided for the evaluation.

20. In Table 8 on Monitoring Progress towards meeting development objectives on pages 33 and 34, it was indicated that "UNIDO did not provide any information or documentation on RF to corroborate reported progress. Only information obtained from external source proved possible activity in RF. Information provided for Azerbaijan and Kazakhstan shows outline strategy, with some data limitations. Hence the monitoring and evaluation (PIR) report for 1 of the 8 countries is not accurate", so the rating was "S" for UNIDO partner activities in Azerbaijan and Kazakhstan; and MS for UNIDO partner activity in RF – regarding survey reports, and even no rating regarding national assessment for the RF. The same applies for the country specific analysis which will form part of national phase-out strategy, elaboration of measures to facilitate the HCFC phase out.

The analyses, assessments and recommendations are evident in Strategy documents prepared and provided by UNDP. However no such document and/or information has been provided by UNIDO. Neither the PIF for Azerbaijan nor the Strategy Outline for Kazakhstan has these details. As earlier indicated there is no relevant information for RF. No rating for three countries.

Please note that the focal points in those countries would not agree with these ratings provided in Table 8. However, if the analysis and assessments were not accurately made, the reference project in the Russian Federation could not be developed and approved later on.

In the column related to country specific analysis, kindly revisit the figures regarding the project in Azerbaijan.

Response: Please refer to earlier responses. The statement does not infer that the information that formed the basis for developing "the reference project in the Russian Federation", did not exist. Such information, e.g. data survey results, strategy outline document, etc. might have been available somewhere, but they were not made available for the evaluation. As stressed earlier, it is a fact that beside the PIF of September 2009 no other information was made available to the Evaluator.

21. As mentioned earlier no HCFC strategy outline document was submitted by UNIDO on behalf of the Russian Federation for the evaluation. The strategy outline documents presented for Azerbaijan and Kazakhstan were provided late in the evaluation process and in the original Russian language. In spite of that the Evaluator made every effort to review the documents as presented and seek additional sources of information, the two documents: "Stepwise programme for the phase out of Ozone Depleting Substances (Hydrochlorofluorocarbons) in the Republic of Kazakhstan" and "National study and preparation of national strategy plan for step-wise phase-out of HCFCs in the consuming sectors in Azerbaijan" appear to serve as a finished programmes or strategy for the two countries for phasing out their HCFC consumption (on page 36)

Don't agree. HCFC strategy outline for RF was submitted by UNIDO.

Response: Please refer to earlier responses above. The statement in paragraph 109, in the opinion of the Evaluator is accurate. As stated earlier, in the PIF for Azerbaijan that was approved in March 2012 it is stated as follows: *In particular, the framework of this part of the Project will be devoted to preparation and adoption of a formal National HCFCs Phase out Strategy and National Action Plan, which will be utilizing results from current GEF Regional HCFC survey and phase out strategy project.*

Therefore, beside the inadequacies identified in the documents they could not have served as finished programmes (or action plans for phasing out HCFCs) and therefore could not have been presented in the monitoring and evaluation as such.

22. Nevertheless the monitoring and evaluation report in the annual reports APR/PIR showed what appeared to be a homogeneous approach in the five UNDP partner countries as well as in the 3 partner UNIDO countries. Hence the information provided to the monitoring and evaluation process on those three countries, for most part, was deemed not be a true reflection of the activities in those countries. (page 36)

23. Reference is made to Table 9 on Preparing for HCFC Phase out in the CEITs Project Results and Rating (page 38), also regarding effectiveness and efficiency, Republic of Azerbaijan it was rated satisfactory while for Ukraine it was rated moderately satisfactory, mainly for inefficiencies in the project delivery and relatively weak and inconsistent institutional support. The activity in the Russian Federation was rated moderately satisfactory for effectiveness and efficiency based on information obtained from international sources regarding progress of the project's implementation (page 39).

And regarding the impact: This indicator was rated significant (S) for all the countries, except Kazakhstan and Russian Federation. The activity has enhanced the ability of the countries to report their data and to have their status assessed for compliance or non-compliance. It has resulted in significant investment in HCFC phase-out and strengthened regulatory capacity. It was rated marginal (M) for Kazakhstan. Although it has ratified the Copenhagen Amendment in the course of project implementation, Kazakhstan is yet to apply the outline strategy to actual phase-out project according to information received. There was no information indicating what impact the activity has had on national regulations. No rating was given to the activity in the Russian Federation for lack of relevant information (page 40).

As to the M & E the overall monitoring and evaluation was rated as moderately satisfactory (MS) in Table 9.

We don't agree with the MS ratings for the Russian Federation. RF completed as first country the outline strategy, prepared a FSP, implemented all proposed changes to the HCFC legislation and stayed always in compliance.

Response: Please see the responses above. That RF was always in compliance as evidenced by the annual consumption and production data reports published by the Ozone Secretariat which was one of the sources of information for the Evaluator. For this reason the country activity was rated as highly satisfactory (HS) for Art. 7 data reporting and "Likely" (L) for sustainability, i.e. negligible risk to sustainability. **You may wish to present the documentation that corroborates other parts of your statement above.**

24. The rating assigned to the Implementing Partner implementation/execution coordination indicator was unsatisfactory (U). This presupposed a second phase, but there was no agreed plan for approaching a second phase of the development of the strategy and its aftermath. Thus for both UNDP and UNIDO the data collection and/or the outline strategy cascaded into phase-out strategies and outlines, and subsequent FSPs or to PIFs

and subsequent FSPs as illustrated in Box number 2. There was very little substantive or regular interaction horizontally among functionaries of the two joint lead agencies for the Component A sub-project. However, the ECA Network meetings became very useful forum for information sharing on the project. Several presentations have been made at these meetings in 2011, 2012 and 2013 by representatives of UNDP, Russia and other countries (page 40).

Please see our explanation in item # 3 above.

Response: Please refer to the response to this item.

25. In the Russian Federation, in spite of lack of information on the strategy outline, on the basis of information from other sources, the activity was also rated as moderately satisfactory (MS). It has to be emphasized that in view of the potential scope of HCFC phase out activities, in both production and consumption, a phase-out strategy is an absolute requirement for the country in order to ensure efficient, consistent and environmentally sound HCFC phase out (on page 38)

We don't agree with the MS ratings for the Russian Federation. RF completed as the first country the outline strategy, prepared a FSP, implemented all proposed changes to the HCFC legislation and stayed always in compliance. HCFC strategy outline for RF was submitted by UNIDO.

Response: Response to this has been made already. Please see earlier responses.

26. It was rated satisfactory (S) for Azerbaijan where a PIF has been prepared as a follow-up and approved in 2012, while for Kazakhstan it was not rated as there is no sufficient information or report of follow-up activity. For the Russian Federation, again based on information from sources, including indirectly from the current Executive Director, Projects on ODS Production and Consumption Phase-out, Centre for Preparation and Implementation of International Projects on Technical Assistance it was rated satisfactory (on page 39).

The FSP approved for RF by GEF was the first multifocal area project targeting the ODS and EE at the same time. Direct outcome of the outline strategy.

Response: Noted. Please see earlier comments on the subject.

27. As to the overall project rating: “ Overall the two implementing agencies UNDP and UNIDO have assisted six countries – Azerbaijan, Belarus, Russia, Tajikistan, Ukraine and Uzbekistan to mobilize about US \$30 million in GEF funding and over US \$85 million in co-funding to phase out their HCFC consumption and meet their accelerated phase out obligations.

However, Component A, the *raison d'être* of the regional MSP was designed to be jointly implemented by UNDP and UNIDO as probably a model for regional projects but the regional implementation modality collapsed, although UNDP continued to implement its sub-component as a group or regional project with a high degree of success. Uzbekistan and Tajikistan have each expressed a very high level of cooperation signifying the importance of contiguity and probably similarity in socio-economic characteristics. The collapse of the regional implementation modality is the most significant failure of the project (pages 40 and 41).

Please see our explanation in item # 3 above.

Response: Noted. Please, also see corresponding responses.

28. Part 4 on Conclusions: UNIDO's activities, based on the information provided for the evaluation resulted in a strategy with action plan for Kazakhstan and essentially strategy outline used as a basis for developing a phase out investment project for Azerbaijan. The impact of these expanded objectives on the participating countries is as described in Section 3.3 (i) above.

UNDP reported that the strategies were submitted to the responsible Governments for approval, and were already transformed into draft regulatory measures in several of the participating countries (Belarus, Uzbekistan, Tajikistan). Good grounds for moving into a phase of preparing several packages of technical assistance to backstop the implementation of the formulated HCFC strategies have been established. Thus the strategy development work is

complete for the three participating countries, leaving Ukraine that has additional work to be done to complete its strategy. In view of data limitation from UNIDO no such general conclusion could be reached regarding its expanded objective for its three participating countries (Azerbaijan, Kazakhstan, Russian Federation).- page 41

See comments above.

Response: Noted. Please, also see corresponding responses.

29. The regional aspect of the project got fragmented. This was partly because in terms of HCFC consumption and potential needs and interests Russian Federation with 85% of the HCFC consumption was not compatible with most of the countries in the region in terms of technical and institutional needs and priorities and could not fit into a regional mould without impacting the rate of project implementation. Two agencies acting as joint implementing agencies for the principal component of the project without clearly defined responsibilities by subject and by country also contributed to the collapse of the regional modality.

The regional principals were not clearly defined from beginning (concept development) . In fact it's not clear why for example Belarus and Tajikistan are part of the same regional project. (the distance between the 2 capitals cities is approx 4500 km, the only common is that over 20 years ago, they used to be part of USSR).

Response: Noted. The Evaluator was trying to make a similar point. Regional implementation modality may not always be the optimal implementation option.

30. The project was conceived as an initial preparatory phase that presupposed subsequent phases, including investment phase. However there was no indication from GEFSec or discussions among the IAs regarding its implementation going forward to subsequent phases. In particular, how the phase out of HCFCs in the Russian Federation, both from the production and consumption sectors would be approached to ensure that the Russian Federation benefited from the comparative strengths of the IAs involved in order to ensure efficient and expeditious phase out process in light of Decision XIX/6. It is evident from the letter from the Russian Ministry of Natural Resources to both UNDP and UNIDO (Annex 4) that Government was willing to take advice on this issue. Therefore, it may be argued that without a demand for strict discipline and accountability from the IAs involved with respect to the original goals of the project the objective evolved into the development of investment projects as agencies made effort to consolidate their work in the countries in which they had carried out the data surveys and needs assessments (page 42)

Please provide us with Annexes 1-7

Response: The annexes are being provided with the final report. Comments from IAs on the draft report and the Evaluator's responses will also be attached as annexes to the document.

31. It appeared UNIDO did not also use the portion of UNEP-allocated funds that UNDP had to transfer to it in a circuitous manner back through UNEP, thus incurring some delay (page 42).

UNIDO did use the allocated funds for Kazakhstan of US\$ 40,000, although it was quite delay of the its transfer.

Response: The text refers to the US \$20,000 originally allocated to UNEP for national level activities. It has been revised as follows: "However, UNIDO used its portion of UNEP-allocated funds that UNDP had to transfer to it in a circuitous manner back through UNEP, thus incurring some delay". The use is also reflected in the tables on allocation and utilization of GEF funds (Tables 7A and 7B).

32. The late addition of a fourth implementing agency into the project's implementation framework without any significant changes to the project design or a clear direction from GEFSec or discussion and agreement among the agencies, contributed to the less than optimal state of the project's implementation as a regional programme. A discussion, such as proposed by the Russian Federation, particularly between the two agencies responsible for the survey and subsequent phase-out activities, referred to earlier (Annex 4), could have improved the level of efficiency of the project's implementation. Though they may not seem significant changes in Government

endorsements whereby a country or countries change from one implementing agency to another in the course of project implementation when two or more implementing agencies are involved could affect the rate of project implementation. As in the case when Kazakhstan decided to change from UNDP to UNIDO, funds have to be transferred, from one agency to another, sometimes in a cumbersome manner and schedules of experts and other project plans have to be revised causing delays not only to the country's activities but to the overall programme. This probably explains why Kazakhstan's activities are at the strategy stage. Beside transfer from one agency to another, another factor affecting implementation at the national level was lack of stability in the counterpart national institutions. In some countries this problem seems likely to be addressed through the proposed strategies and funding of subsequent phase out projects.

The link of two other studies of macroeconomic nature to the data survey project did not have much relevance to most of the countries given that their levels of HCFC consumption as LVCs or even VLVCs did not make them good candidates for such studies. In fact, the projects that were developed took account of climate impact of the technological choices without the results of the study.

Given the circumstances of the region (territorially, communication problems, etc.) it would have been much more appropriate to undertake the studies based on a limited sample of two or three countries. Alternatively they could have been undertaken independently based on available information from Article 2 countries which already had experience in the phase-out and also from technical sources within the Montreal Protocol system and other relevant MEAs with the result being applied to the CEITs instead of the other way round. The choice of the Europe and Central Asia region with such disparate levels of HCFC consumption and complex geopolitical structure for the study was inopportune and might have contributed to the failure of those components of the project rather than the reasons given by the agencies for cancelling them. In any case, it appears that a more appropriate stage to have linked the two studies with the project should have been after the data collection and analysis stage.

With regard to the monitoring and evaluation PIR/APR the analysis of the process and outcomes and discussions held showed that monitoring of the project was less than structured, and less demanding of the respondent IAs. Responses were not required to be backed up by either written summaries or copies of reports of progress achieved by the agencies reporting. Thus at time of evaluation or need for any reason when an agency was not able to provide a given documentation there was no other source of information to back up.

Taken as a whole it may be concluded that the project achieved mixed results (page 43)

Please see explanation in the item # 3 above.

Response: Noted. Please, also see corresponding responses.

33. Reference is made to the lessons learned in section 4.2 provided on pages 44-45:

We would like to agree with most of the lessons learned to address them in the future.


Response: Noted. Thank you.

ANNEX 8

Evaluation Consultant Code of Conduct and Agreement Form


Evaluators:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study imitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

Evaluation Consultant Agreement Form ¹
Agreement to abide by the Code of Conduct for Evaluation in the UN System
Name of Consultant: <u>Mr. Richard Abrokwa-Ampadu</u>
Name of Consultancy Organization (where relevant): _____
I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.
Signed at DOLLARD DES ORMEAUX on 4 MARCH 2013
Signature: <u></u>

¹www.unevaluation.org/unegcodeofconduct

Evaluation Report Clearance Form

Evaluation Report Reviewed and Cleared by	
UNDP Country Office	
Name: _____	
Signature: _____	Date: _____
UNDP GEF RTA	
Name: Mr. Maksim Surkov	
Signature:  _____	Date: 26 July 2013 _____