



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE

Independent terminal evaluation of the project:

**Strengthening of National Initiatives and Enhancement of Regional
Cooperation for the Environmentally Sound Management of POPs
in Waste of Electronic or Electrical Equipment (WEEE)
in Latin-American Countries**

UNIDO ID: 140297

GEF Project ID: 5554

| 12/06/2024 |

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I. PROJECT BACKGROUND AND CONTEXT

1. Project factsheet¹

Project title	Strengthening of National Initiatives and Enhancement of Regional Cooperation for the Environmentally Sound Management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries
UNIDO ID	140297
GEF Project ID	5554
Country(ies)	The Argentine Republic, the Plurinational State of Bolivia, the Republic of Chile, the Republic of Costa Rica, the Republic of Ecuador, the Republic of El Salvador, the Republic of Guatemala, the Republic of Honduras, the Republic of Nicaragua, the Republic of Panama, the Republic of Peru, the Eastern Republic of Uruguay and the Bolivarian Republic of Venezuela.
Project funding partner(s)	GEF
Project approval date/GEF CEO endorsement date	15/3/2017
Planned project start date (as indicated in project document/or GEF CEO endorsement document)	15/3/2017
Actual project start date (First PAD issuance date)	17/4/2017
Planned project completion date (as indicated in project document/or GEF CEO endorsement document)	15/3/2022
Actual project completion date (as indicated in UNIDO ERP system)	30/6/2024
Project duration (year): Planned: Actual:	Planned: 5 years (60 months) Actual: 7 years (84 months)
GEF Focal Areas and Operational Programme	Persistent Organic Pollutants (POPs)
Implementing agency(ies)	UNIDO
Government coordinating agency	Secretary of Environment and Sustainable Development in the Argentine Republic, the Ministry of Environment and Water of the Plurinational State of Bolivia, the Ministry of Environment of the Republic of Chile, the Ministry of Health of the Republic of Costa Rica, the Ministry of Environment of the Republic of Ecuador, the Ministry of Environment and Natural Resources of the Republic of El Salvador, the Ministry of Environment and Natural Resources of the Republic of Guatemala, the Secretariat of Natural Resources and Environment (SERNA) of the Republic of Honduras, the Ministry of Environment and

¹ Data to be validated by the Consultant

	Natural Resources (MARENA) of the Republic of Nicaragua, the Ministry of Health of the Republic of Panamá, the Ministry of Environment of the Republic of Peru; the Ministry of Housing, Land Planning and Environment of the Eastern Republic of Uruguay, and the Ministry of People's Power for Ecosocialism and Water of the Bolivarian Republic of Venezuela.
Executing Partners	(Various, depending on countries)
Donor funding	USD 9,500,000
UNIDO input (in kind, USD)	USD 300,000
Co-financing at CEO Endorsement, as applicable	71,411,312
Total project cost (USD), excluding support costs	80,911,312
Mid-term review date	12/8/2022
Planned terminal evaluation date	June 2024
Gender Marker	1 - Limited expected contribution to gender equality

(Source: Project document, UNIDO ERP system)

2. Project context

E-waste has become a prominent issue in the national agendas of several Latin American countries, and the interest is growing steadily within the public and private sectors, as well as in civil society organizations. Political and public concerns about the handling and treatment of e-waste have arisen due to the presence of hazardous components and POPs (mainly Polychlorinated Biphenyls or PCBs, and Polybrominated Diphenyl Ethers or PBDEs, used for housings/casings of computers, TV monitors and printed circuit boards). At the same time, e-waste seems to offer important economic and business opportunities that can help generate new enterprises and employment, through promoting refurbishment and reutilization, or improving the extraction and commercialization of WEEE containing valuable materials (plastics, ferrous and non-ferrous metals).

Before the project started, some countries in Latin America had already started implementing several initiatives, including the enactment of specific rules and regulations for the proper management and collection of WEEE, as well as awareness-raising on the issue, and the strengthening of national capacities on WEEE (e-waste) dismantling and recycling. However, due to national differences in policy development and the status of WEEE related initiatives, progress has not been homogeneous throughout the region. In addition, there is still a shortage of adequate dismantling and recycling infrastructure or lack of specific policies on e-waste. The improper recycling of WEEE, which may involve inefficient identification and separation of plastic containing PBDEs and the uncontrolled burning processes of plastic coatings, housings and casings, cause the formation and release of unintentionally-produced POPs (u-POPs), such as dioxins and furans. These are highly toxic chemicals that accumulate in living organisms, including humans, and appear in higher concentrations at higher levels in the food chain, causing serious toxic effects to both people and wildlife. Thanks to a combination of these factors, the adoption of a successful management model for WEEE at the regional level has stalled. Without this project and support at the national and international levels, this scenario is likely to continue, at least in the short and medium term.

The participating countries have different baselines, dependent upon their different developmental, technical, economic and social situations. This project, therefore, aims to align differences at the national level with the support of regional cooperation. Without GEF support, an alignment and cooperation between them, the participating countries are unlikely to succeed in improving the national WEEE management capacities and the operations and recycling capacity in the existing national facilities, among the main pending tasks. Consequently, this project seeks to create an inclusive project

environment with the participation of various stakeholders. Building on a solid commitment to executing the project on the part of national governments, the project also facilitates the assistance of international organizations with strong expertise on e-waste issues and related matters.

3. Project objective and expected outcomes

The Project focuses on supporting Ministries of Environment and Health in 13 participating countries to protect human health and the environment from Persistent Organic Pollutants (POPs) present in some WEEE fractions. The main objective is to strengthen national initiatives and enhance regional cooperation for the environmentally sound management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries.

The **main objective** of the proposed project is to strengthen national initiatives and enhance regional cooperation for the environmentally sound management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries.

Summary of components:

Within the different activities that make up **component 1** (Strengthening of National E-Waste Management Initiatives), the project has wanted to place greater emphasis on accelerating the development of regulatory frameworks on WEEE in the participating countries, since these constitute the basis for future developments such as the implementation of the Extended Producer Responsibility (EPR), the collection of larger volumes and policies oriented towards the circular economy. Likewise, the development of other national strategies continues to ensure the sustainability of WEEE management in the coming years. Finally, training for officials and awareness campaigns aimed at the general public continue with the dynamics of previous years. Under **component 1**, there are the following outcomes/ outputs:

- Outcome 1.1 National Policies are drafted or reviewed
 - Output 1.1.1: National policies and regulations are drafted or reviewed
 - Output 1.1.2: National e-waste management strategies are established
 - Output 1.1.3: Guidelines for the e-waste management activities are developed and tested
 - Output 1.1.4: A national financial strategy is defined within policies and regulations
- Outcome 1.2: National Capacity for e-waste management is in place
 - Output 1.2.1 Officials and staff on e-waste management trained
 - Output 1.2.2 Selected universities include e-waste management in their curricula and research programs
 - Output 1.2.3 National knowledge and information management systems are set and ready for regional exchange
- Outcome 1.3: National society is informed and aware of e-waste issues
 - Output 1.3.1 Media and journalists are trained on e-waste issues and informed regarding the progress of the national and regional initiatives
 - Output 1.3.2 Awareness raising campaigns / customized events are developed to address the needs of specific target groups (i.e. children, women) and society at large

In **component 2** (Strengthening of National Capacities on E-Waste Dismantling and Recycling Facilities/Infrastructure), the project continues to provide assistance and training to countries to correctly identify and separate brominated flame retardant plastics that may contain POPs. Thanks to this effort, during this period the first tons of these plastics were sent for safe final disposal, in accordance with the guidelines of the Stockholm Convention. Under **component 2**, there are the following outcomes/ outputs:

- Outcome 2.1: E-waste dismantling and recycling facilities or infrastructure are operating efficiently and sustainably in participating countries

- Output 2.1.1: In-depth assessments of pre-selected facilities and infrastructure are carried out to select facilities that will be upgraded/scaled up
- Output 2.1.2 Selected facilities are up-scaled to meet SC, BC and other relevant criteria
- Output 2.1.3 ESM and final disposal of 600 tons of brominated plastics annually (totaling 2400 tons during the project lifespan) using BAT/BEP
- Output 2.1.4 Adequate business models are developed to ensure long-term sustainability of the facilities

Within the activities carried out in **component 3** (Enhancement of Regional Cooperation on E-Waste Management), the project continues to hold weekly meetings with all the participating countries (called PREAL Tuesdays), as a mechanism for exchanging experiences and knowledge. In addition, in collaboration with UNU/UNITAR, an EWAS (E-Waste Academy for Scientists) was held in Ireland in September 2022 with the aim of introducing participants to various perspectives on e-waste management and getting in touch with an international, multidisciplinary, and experienced team. Under **component 3**, there are the following outcomes/ outputs:

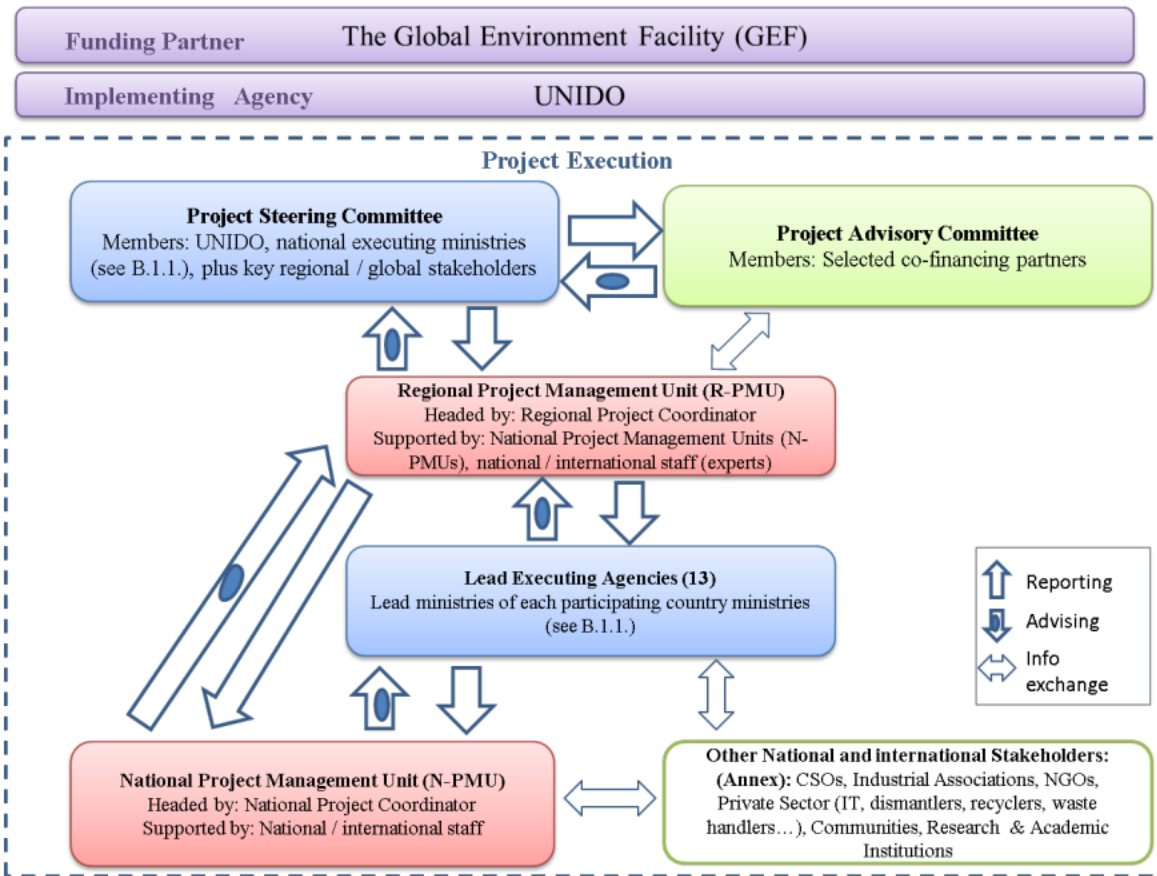
- Outcome 3.1 Key issues of e-waste policies are harmonized at the regional level, with due consideration of the relevant MEAs and mechanism like SAICM
 - Output 3.1.1. Comparative analysis of existing national policies / regulations is conducted to identify key issues that need to be addressed at the regional level
 - Output 3.1.2. A regional policy platform is operating to facilitate policy harmonization on key issues, with involvement of national MEAs officials
- Outcome 3.2 Knowledge management systems and information exchange are strengthened
 - Output 3.2.1. The policy platform is integrated into a regional knowledge / information management system
 - Output 3.2.2. National knowledge / information systems are linked to the regional one
- Outcome 3.3 South -South cooperation is enhanced
 - Output 3.3.1 Country cooperation is strengthened in the region through enhanced knowledge sharing
 - Output 3.3.2 Regional post-project action plans and initiatives are developed

Component M&E: Project Monitoring and Evaluation has the following outputs / outputs:

- Outcome 4.1 Monitoring
 - 4.1.1 Monitoring system is set and works
 - 4.1.2 Progress reports are delivered and required decisions/actions are taken
 - Outcome
- Outcome 4.2 Evaluation
 - 4.2.1 Mid-term review and final independent evaluation are conducted
 - 4.2.2 Lessons learned are shared with all relevant stakeholders for future project improvement

4. Project implementation arrangements

The following illustration summarizes the overall project structure and implementation arrangements.



Graph 1: Overall project structure and implementation arrangements as per project document.

The Project established a Project Steering Committee (PSC), which consists of UNIDO, national representatives of the ministries (i.e. the leading project executing counterparts) and additional stakeholders. It includes among others, the following tasks: review of annual work plans; review of annual GEF reporting (PIRs); review of annual budgets vis-à-vis the GEF grant and co-financing; monitoring and evaluation of project progress; and guidance on strategic issues and activities.

The Project Advisory Committee (PAC) is involved in the review of technical documents as well as monitoring and evaluation activities; the PAC makes recommendations and suggestions but does not have power to enforce them.

The Regional Project Management Unit (R-PMU) consists of a regional project coordinator (RPC) supported by administrative staff. The R-PMU was hired by UNIDO and is mainly responsible for guiding and following up day to day project execution, particularly the harmonization of the activities through the region. The RPC promotes regional activities and supports countries in their exchange of information and knowledge. The main task of the R-PMU include, inter alia:

- Accompanying and advising execution of regional project activities
- Coordination of national activities at the regional level
- Establishment of regular project reports, PIRs and other monitoring reports
- Organization of regional workshops and meetings
- Communications regarding its mandate with national, regional and international stakeholders

The previously-existing regional knowledge-management platform, RELAC, serves as a starting point for information exchange and harmonization of activities. RELAC hosts the regional knowledge management platform and works in close cooperation with the R-PMU.

At the national level, lead executing agencies are the relevant ministries in charge of the project in their respective countries. Every national executing partner has established a National Project Management Unit (N-PMU) consisting of a National Project Coordinator (NPC) and support staff to supervise day-to-day project activities in their respective countries. N-PMUs liaise regularly with the RPC to align their activities with the initiatives of the other countries.

N.B. At the national level, lead executing agencies are the relevant ministries in charge of the project in their respective countries. This includes the ones listed under ‘Lead executing agencies’ in graph 1 above. Sub-contracts for national project execution for management of national outputs under components 1 and 2 were issued to either these national executing partners or other partners. For countries where the subcontract was not issued to the executing partners, the subcontracted entity was selected by the national executing partner under procedures that warrant the best value for the money, fairness, accountability, integrity and transparency of the procurement processes, effective competition, and the best interest of the GEF, UNIDO, and the participating countries.

5. Main findings of the Mid-term review (MTR)

The project is still highly relevant to address the urgent need to regulate e-waste issues and reduce POPs in the region. It also has a very relevant geographical coverage to advance towards a regional vision and the outcomes remain consistent with the GEF’s focal areas and UNIDO’s mandate. Its design benefitted from both institutions’ technical expertise and experience and, although not underpinned by a comprehensive theory of change (not requested at the time of design), it is solidly founded on the analysis of the main factors affecting the issue of POPs in e-waste (comprehensive baseline and stakeholder analysis).

The PREAL is contributing to strategic objectives and has advanced towards achieving the planned outcomes. One of the main achievements of the project is that it has facilitated and pushed a relevant number of countries to address the issue of e-waste and POPs. It is expected that important outcomes of the project, like the setup of legislation, capacity building, increased awareness and improved control of the recycling infrastructure in the countries will be achieved eventually after the end of the project.

Nevertheless, it is unlikely that the expected outcomes are achieved by the current deadline (March 2022). The project has delivered quality outputs but the implementation is significantly delayed (it actually did not start until 2019). In this sense, the indicators and targets are too ambitious and should be revised to reflect changing circumstances and lessons learned during implementation. In fact, the project is currently working with a workplan that goes beyond its deadline and national workplans that go even further (up to 2024).

The PREAL has built on the coordinated capacities of the national and regional partners. The complexity of the project was initially underestimated (e.g. novel sector that involves ground-breaking policies and technology; countries with diverse needs, capacities, and priorities; staff and government changes, etc.) This resulted in accumulated delays (e.g. slow start-up, time-consuming arrangements to set-up a multi-stakeholder partnership, etc.) Nevertheless, the implementation arrangements are paying off in terms of increased ownership and efficiency. In general, the management and overall coordination mechanisms have been efficient and effective contributing to strengthening local ownership. The services provided by the Regional Project Management Unit (R-PMU) and National Project Management Units (N-PMUs) are considered highly satisfactory. On the other hand, the Project

Steering Committee (PSC) and Project Advisory Committee (PAC) could have played a more significant and defined role.

The project's results framework has been used as an operational management tool and has been able to respond to changing circumstances (e.g. by organizing regular coordination and substantive remote meetings in response to the Covid-19 pandemic). Nevertheless, some indicators are not relevant or realistic and the project is not implementing a robust monitoring and evaluation system which compromises its own learning. In this sense, reporting has not been consistent and responsibilities remain somehow vague.

The project did not develop a comprehensive gender mainstreaming strategy to contribute to transformational changes likely to affect gender relations and social norms. Nevertheless, the design included a baseline study that addressed specific women's needs. During implementation, concrete efforts were made to address specific issues of interest for women, and attention was given to ensure gender participation.

Information extracted from the MTR Report:

1. ***Project design assessment***

- There is evidence of the added value of UNIDO and GEF and the project design took advantage of their technical expertise and experience
- The project design is based on a comprehensive baseline assessment
- The project design is based on a comprehensive stakeholder analysis
- The results framework seems output-driven and not underpinned by a robust theory of change
- The indicators and targets are too ambitious and do not reflect changing circumstances and lessons learned during implementation
- The project design is underpinned by relevant assumptions but it would benefit from a more comprehensive analysis of the risks

2. ***Project performance and progress towards results***

- Relevance: The project outcomes remain consistent with the GEF focal areas, UNIDO mandate, and the beneficiary needs and priorities
- Effectiveness and progress towards expected results: Although the project is contributing to strategic objectives, it is unlikely that it will complete the overall workplan and achieves the expected outcomes by the current deadline.

3. ***Efficiency***

- The project has delivered quality outputs and the implementation arrangements through a multi-stakeholder partnership are paying off in terms of increased ownership and efficiency.

4. ***Project implementation management***

- Project management: In general, the management and overall coordination mechanisms have been efficient and effective contributing to strengthen local ownership.

- Results-Based work planning: The project accumulates delays partly due to a slow start-up and time consuming arrangements to set-up a multi-stakeholder partnership. The current work plans (overall and national) extend beyond the project’s end date.
- Results-based monitoring and evaluation: The project is not implementing a robust monitoring and evaluation system which compromises the project’s own learning. The project’s results framework has been used as an operational management tool but it has not been updated and some indicators are not relevant or realistic.
- Results-based reporting: The project reporting has not been consistent and responsibilities remain somehow vague.
- Financial management and co-finance: In line with the project delays, the budget execution corresponds to approximately 30% of the GEF grant. In line with the project delays, approximately 30% of the pledged amount is estimated to have been contributed as co-financing.
- Stakeholder engagement: The project has put in place a multi-stakeholder partnership that has facilitated the development of synergies and leveraged collaboration.
- Communication and dissemination: The project has responded to changing circumstances such as the covid-19 pandemic by organizing regular coordination and substantive remote meetings.

5. ***Sustainability***

- The project has contributed to increase ownership and the interest of governments and other stakeholders but the engagement of the private sector is limited and the regional dimension is not sufficiently developed.

6. ***Gender mainstreaming***

- The project has given specific attention to women participation but has not developed a thorough gender mainstreaming strategy (tailor-made approach for the e-waste sector).

7. ***Performance of Partners***

- The project has built on the coordinated capacities of the national and regional partners.

6. Budget information

Table 1. Financing plan summary - Outcome breakdown

Financing plan as reported in project document:

Budget per outcome (USD)	
Outcome 1.1	1,200,000
Outcome 1.2	1,600,000
Outcome 1.3	800,000

TOTAL Component 1	3,600,000
Outcome 2.1	3,900,000
TOTAL Component 2	3,900,000
Outcome 3.1	350,000
Outcome 3.2	600,000
Outcome 3.3	400,000
TOTAL Component 3	1,350,000
Outcome 4.1	100,000.00
Outcome 4.2	100,000.00
TOTAL Component 4	200,000.00
TOTAL PMC	450,000.00
TOTAL PROJECT COSTS	9,500,000.00

Source: Project document, Annex E

Table 2. Co-Financing source breakdown

Co-financing as reported in project document (\$)

Sources of Co-financing	Name of Co-financier (source)	Type of Co-financing	Co-financing Amount (\$)
GEF Agency	UNIDO	In-kind	300,000
GEF Agency	UNIDO	Cash	200,000
National Government	Argentina (PELCO, PROGEA)	Cash	3,398,087
National Government	Argentina	In-kind	2,868,983
National Government	Bolivia	In-kind	746,471
National Government	Bolivia	Cash	1,780,487
National Government	Chile	Cash	1,470,000
National Government	Chile	In-kind	1,380,000
National Government	Costa Rica	In-kind	2,814,816
National Government	Ecuador (Telefonica-OTECCEL, MINTEL, Lexmark)	Cash	282,936
National Government	Ecuador	In-kind	3,737,159
National Government	El Salvador	In-kind	2,098,245
National Government	El Salvador	Cash	2,918,800
National Government	Guatemala	In-kind	154,931
National Government	Guatemala (Scrapex, Selmet, Liquidacion, E-waste de Guatemala, Reciclados de Occidente)	Cash	3,231,687
National Government	Honduras	In-kind	994,204
National Government	Honduras (Invema, Recacel, Reciclados de Honduras)	Cash	2,769,963
National Government	Nicaragua	In-kind	2,814,816
National Government	Panama	In-kind	1,335,252

National Government	Panama (Linvestor Group)	Cash	7,129,900
National Government	Peru (COIPSA, COMIMTEL, San Antonio)	Cash	7,367,299
National Government	Uruguay	In-kind	949,000
National Government	Uruguay (Pan Ceibal, TRIEX, WERBA)	Cash	3,862,000
National Government	Venezuela	In-kind	3,935,000
Others	EMPA	In-kind	1,781,675
Others	EMPA	Cash	194,125
Others	ISWA	In-kind	71,500
Others	ISWA	Cash	20,000
Other Multilateral Agency (UNU	In-kind	158,500
Others	BOKU University Vienna	In-kind	12,931
Others	BOKU University Vienna	Cash	58,508
Private Sector	Ericsson	In-kind	6,318,088
Private Sector	Ericsson	Cash	407,655
Private Sector	Microsoft	In-kind	7,000
Private Sector	Microsoft	Cash	14,000
Others	RELAC	In-kind	865,150
Others	RELAC	Cash	54,000
Other Multilateral Agency (International Telecommunication Union	In-kind	538,800
Other Multilateral Agency(ies)	International Telecommunication Union	Cash	524,000
National Government	US-EPA	In-kind	189,464
Other Multilateral Agency (World Health Organization	In-kind	300,000
Other Multilateral Agency (International Labor Organization	In-kind	87,880
Private Sector	Ernst & Young Belgium	In-kind	1,103,000
Private Sector	Ernst & Young Belgium	Cash	88,000
Private Sector	Dell	In-kind	4,000
Private Sector	Dell	Cash	73,000
Total Co-financing			71,411,312

Source: Project document

Table 3. UNIDO budget allocation and expenditure by budget line

Budget line	Items by budget line	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	Total expenditure (at completion)		Total allocation (at approval)		Expend as % of initial allocation
										USD	%	USD	%	
2100	Contractual Services	-	1,276,248.00	1,927,832.50	1,920,762.99	1,753,439.66	1,358,373.85	(193,932.81)	(55,542.54)	7,987,181.65	85	3,775,000	40	212
4500	Equipment	-	-	-	37.53	29.69	6.41	-	-	73.63	0	2,205,000	23	0
1500	Local travel	-	24,904.90	24,444.27	2,130.65	-	6,664.23	49,889.58	30,708.14	138,741.77	1	350,000	4	40
1700	Nat. Consult./Staff	12,413.53	36,361.64	39,959.92	42,166.94	36,255.39	20,742.77	17,058.76	10,952.84	215,911.79	2	150,000	2	144
5100	Other Direct Costs	-	-	7,758.32	6,417.63	3,758.73	861.97	8,806.12	2,617.80	30,220.57	0	60,000	1	50
4300	Premises	-	-	-	-	-	-	-	-	-	0	0	0	
1100	Staff & Intern Consultants	-	67,021.18	107,168.35	123,802.44	154,911.48	85,259.49	196,823.69	70,111.72	805,098.35	9	1,035,000	11	78
3000	Train/Fellowship/Study	-	-	-	-	1,268.39	31.13	1,879.18	-	3,178.70	0	1,465,000	15	0
3500	International Meetings	-	84,129.65	84,009.11	26.60	-	-	-	22,251.00	190,416.36	2	460,000	5	41
Total		12,413.53	1,488,665.37	2,191,172.47	2,095,344.78	1,949,663.34	1,471,939.85	80,524.52	81,098.96	9,370,822.82	100	9,500,000	100	99

Source: Project document and UNIDO Project Management ERP database as of 14/05/2024

Table 4. UNIDO budget allocation and expenditure by component

#	Project components	Total allocation (at approval)		Total expenditure (at completion)	
		USD/Euro	%	USD/Euro	%
1	National policies and society-TA	3,600,000	38	3,325,268.06	35
2	National e-waste recycling capacity	3,900,000	41	3,594,792.39	38
3	Regional south-south cooperation	1,350,000	14	1,706,709.58	18
4	M&E	200,000	2	14,069.40	0.2
5	Project management	450,000	5	729,983.39	8
	Total	9,500,000	100	9,370,822.82	100

Source: Project document and UNIDO Project Management ERP database as of 14/05/2024

II. SCOPE AND PURPOSE OF THE EVALUATION

The purpose of the terminal evaluation (TE) is to independently assess the project to help UNIDO improve performance and results of ongoing and future programmes and projects. The terminal evaluation (TE) will cover the whole duration of the project from its starting date in 03/2017 to the estimated completion date in 06/2024.

The evaluation has two specific objectives:

- (i) Assess the project performance in terms of relevance, effectiveness, efficiency, sustainability, coherence, and progress to impact; and
- (ii) Develop a series of findings, lessons and recommendations for enhancing the design of new and implementation of ongoing projects by UNIDO.

III. EVALUATION APPROACH AND METHODOLOGY

The independent TE will be conducted in accordance with the UNIDO Evaluation Policy², the UNIDO Guidelines for the Technical Cooperation Project and Project Cycle³, and UNIDO [Evaluation Manual](#). In addition, the GEF Guidelines for GEF Agencies in Conducting Terminal Evaluations, the GEF Monitoring and Evaluation Policy, and the GEF Minimum Fiduciary Standards for GEF Implementing and Executing Agencies will be applied.

The evaluation will be carried out as an independent in-depth exercise using a participatory approach whereby all key parties associated with the project will be informed and consulted throughout the process. The evaluation team leader will liaise with the UNIDO Independent Evaluation Unit (EIO/IEU) on the conduct of the evaluation and methodological issues.

The evaluation will use a theory of change approach⁴ and mixed methods to collect data and information from a range of sources and informants. It will pay attention to triangulating the data and information collected before forming its assessment. This is essential to ensure an evidence-based and credible evaluation, with robust analytical underpinning.

² UNIDO. (2021). Director General's Bulletin: Evaluation Policy (UNIDO/DGB/2021/11)

³ UNIDO. (2006). Director-General's Administrative Instruction No. 17/Rev.1: Guidelines for the Technical Cooperation Programme and Project Cycle (DGAI.17/Rev.1, 24 August 2006)

⁴ For more information on Theory of Change, please see chapter 3.4 of UNIDO [Evaluation Manual](#).

The theory of change will depict the causal and transformational pathways from project outputs to outcomes and longer-term impacts. It also identifies the drivers and barriers to achieving results. Learning from this analysis will be useful for the design of future projects so that the management team can effectively use the theory of change to manage the project based on results.

1. Data collection methods

Following are the main instruments for data collection:

- (a) **Desk and literature review** of documents related to the project, including but not limited to:
 - The original project document, monitoring reports (such as progress and financial reports, mid-term review reports, technical reports, back-to-office mission report(s), end-of-contract report(s), and relevant correspondence.
 - Notes from the meetings of committees involved in the project.
- (b) **Stakeholder consultations** will be conducted through structured and semi-structured interviews and focus group discussions. Key stakeholders to be interviewed include:
 - UNIDO Management and staff involved in the project; and
 - Representatives of funding partners, counterparts, and other stakeholders.
- (c) **Field visit** to project sites in selected countries.
 - On-site observation of results achieved by the project, including interviews of actual and potential project beneficiaries.
 - Interviews with the relevant UN Resident Coordinator and UNIDO Country offices' representative to the extent that she/he was involved in the project and the project's management members and the various national [and sub-regional] authorities dealing with project activities as necessary.
- (d) **Online data collection** methods will be used to the extent possible.

2. Key evaluation questions and criteria

The key evaluation questions (corresponding to the six OECD/DAC criteria) are the following:

- 1) **Relevance:** Is the intervention doing the right things? To what extent do the project/programme's objectives respond to beneficiaries, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change?
- 2) **Coherence:** How well does the intervention fit? How compatible is the project/programme with other interventions in the country, sector or institution?
- 3) **Effectiveness:** Is the project/programme achieving its objectives?
- 4) **Efficiency:** How well are resources being used? Has the project/programme delivered results in an economic and timely manner?
- 5) **Impact:** What difference does the intervention make? To what extent has the project/programme generated significant positive or negative, intended or unintended, higher-level effects? Has the project/programme had transformative effects?
- 6) **Sustainability:** Will the benefits last? To what extent will the net benefits of the project/programme continue, or are likely to continue?

The table below provides the key evaluation criteria to be assessed by the evaluation. The detailed questions to assess each evaluation criterion are in Annex 2 of UNIDO [Evaluation Manual](#).

Table 5. Project evaluation criteria

#	<u>Evaluation criteria</u>	<u>Mandatory rating</u>
A	Progress to Impact	Yes
B	Project design	Yes

1	• Overall design	Yes
2	• Project results framework/log frame	Yes
C	Project performance and progress towards results	Yes
1	• Relevance	Yes
2	• Coherence	Yes
3	• Effectiveness	Yes
4	• Efficiency	Yes
5	• Sustainability of benefits	Yes
D	Gender mainstreaming	Yes
E	Project implementation management	Yes
1	• Results-based management (RBM)	Yes
2	• Monitoring and Evaluation, Reporting	Yes
F	Performance of partners	
1	• UNIDO	Yes
2	• National counterparts	Yes
3	• Implementing partner (if applicable)	Yes
4	• Funding partner	Yes
G	Environmental and Social Safeguards (ESS), Disability and Human Rights	Yes
1	• Environmental Safeguards	Yes
2	• Social Safeguards, Disability and Human Rights	Yes
H	Overall Assessment	Yes

Performance of partners

The assessment of the performance of partners will *include* the quality of implementation and execution of the GEF Agencies and project-executing entities in discharging their expected roles and responsibilities. The assessment will take into account the following:

- Quality of Implementation, e.g. the extent to which the agency delivered effectively, with a focus on elements that were controllable from the given implementing agency's perspective and how well risks were identified and managed.
- Quality of Execution, e.g. the appropriate use of funds, procurement, and contracting of goods and services.

Other assessments required by the GEF for GEF-funded projects:

The terminal evaluation will assess the following topics, for which *ratings are not required*:

- Need for follow-up:** e.g. in instances of financial mismanagement, unintended negative impacts, or risks.
- Materialization of co-financing:** e.g. the extent to which the expected co-financing materialized, whether co-financing was administered by the project management or by some other organization; whether and how shortfall or excess in co-financing affected project results. At the terminal evaluation point, the Project Manager will update table 3 on co-financing and add two more columns to submit to the evaluation team: 1) Amount of co-financing materialized at mid-term review (MTR); and 2) Amount of co-financing materialized at terminal evaluation (TE). The evaluation team has the responsibility to validate and verify the co-financing amount materialized

during the evaluation process. This table MUST BE included in the terminal evaluation report, as per requirement by the GEF.

- c. **Environmental and Social Safeguards**⁵: appropriate environmental and social safeguards were addressed in the project’s design and implementation, e.g. preventive or mitigation measures for any foreseeable adverse effects and/or harm to environment or to any stakeholder.
- d. **Updated Monitoring and Assessment tool of core-indicators**: The project management team will submit to the evaluation team the up-to-date core-indicators or tracking tool (for older projects) whereby all the information on the project results and benefits promised at approval and actually achieved at completion point must be presented. The evaluation team has the responsibility to validate and verify updated core-indicators during the evaluation process. This table MUST BE included in the terminal evaluation report, as per requirement by the GEF.
- e. **Knowledge Management Approach**: Information on the project’s completed Knowledge Management Approach that was approved at CEO Endorsement/Approval.

3. Rating system

In line with the practice adopted by many development agencies, the UNIDO Independent Evaluation Unit uses a six-point rating system, where the highest score is highly satisfactory (6) and the lowest score is highly unsatisfactory (1) as per the table below.

Table 6. Project rating criteria

Score	Definition
Highly satisfactory (6)	Level of achievement presents no shortcomings (90% - 100% achievement rate of planned expectations and targets).
Satisfactory (5)	Level of achievement presents minor shortcomings (70% - 89% achievement rate of planned expectations and targets).
Moderately satisfactory (4)	Level of achievement presents moderate shortcomings (50% - 69% achievement rate of planned expectations and targets).
Moderately unsatisfactory (3)	Level of achievement presents some significant shortcomings (30% - 49% achievement rate of planned expectations and targets).
Unsatisfactory (2)	Level of achievement presents major shortcomings (10% - 29% achievement rate of planned expectations and targets).
Highly unsatisfactory (1)	Level of achievement presents severe shortcomings (0% - 9% achievement rate of planned expectations and targets).

⁵ Refer to [AI/2021/03 - UNIDO Environmental and Social Safeguards Policies and Procedures](https://www.thegef.org/sites/default/files/documents/gef_environmental_social_safeguards_policy.pdf);
https://www.thegef.org/sites/default/files/documents/gef_environmental_social_safeguards_policy.pdf

IV. EVALUATION PROCESS

The evaluation will be conducted from July 2024 to November 2024. The evaluation will be implemented in five phases, which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- 1) Inception phase: The evaluation team will prepare the inception report providing details on the evaluation methodology and include an evaluation matrix with specific issues for the evaluation to address (including if and how MTR findings were addressed, and how the project structure and implementation arrangements performed with a view to relevant ministries assuming the role of lead executing agencies); the specific country and site visits will be determined during the inception phase, taking into consideration the findings and recommendations of the mid-term review.
- 2) Desk review and data analysis;
- 3) Interviews, survey, and literature review;
- 4) Country visits (whenever possible) and debriefing to key relevant stakeholders in the field;
- 5) Data analysis, report writing, and debriefing to UNIDO staff at the Headquarters; and
- 6) Final report issuance and distribution with a management response sheet, and publication of the final evaluation report in UNIDO website.

V. TIME SCHEDULE AND DELIVERABLES

The evaluation is scheduled to take place from July 2024 to November 2024. The evaluation field missions are tentatively planned for end-July/August 2024. At the end of the field mission, the evaluation team will present the preliminary findings for key relevant stakeholders involved in this project in the country. The tentative timelines are provided in the table below.

After the evaluation field mission, the evaluation team leader will arrange a virtual debriefing and presentation of the preliminary findings of the terminal evaluation with UNIDO Headquarters. The draft TE report will be submitted 4 to 6 weeks after the end of the mission. The draft TE report is to be shared with the UNIDO Project Manager (PM), UNIDO Independent Evaluation Unit, the UNIDO GEF Coordinator, and GEF OFP, and other stakeholders for comments. The Evaluation team leader is expected to revise the draft TE report based on the comments received, edit the language, and submit the final version of the TE report in accordance with UNIDO EIO/IEU standards.

Table 7. Tentative timelines

Timelines	Tasks
July 2024	Desk review and writing of inception report
July 2024	Online briefing with UNIDO project manager and the project team based in Vienna.
End-July/August 2024	Field visit to selected countries.
Beginning of September 2024	Debriefing in Vienna Preparation of first draft evaluation report
October 2024	Internal peer review of the report by UNIDO's Independent Evaluation Unit and other stakeholder comments to draft evaluation report
November 2024	Final evaluation report

VI. EVALUATION TEAM COMPOSITION

The evaluation team will be composed of one international evaluation consultant acting as the team leader, and as team members one or two regional evaluation consultants, and potentially one regional

expert with expertise in chemicals and with evaluation experience (pending the evaluation budget constraint). The evaluation team members will possess a mixed skill set and experience including evaluation, relevant technical expertise, social and environmental safeguards and gender. All three consultants will be contracted by UNIDO.⁶

The tasks of each team member are specified in the job descriptions annexed to these terms of reference. The evaluation team is required to provide information relevant to follow-up studies, including terminal evaluation verification on request to the GEF partnership up to three years after completion of the terminal evaluation.

According to the UNIDO Evaluation Policy, members of the evaluation team must not have been directly involved in the design and/or implementation of the project under evaluation.

The UNIDO Project Manager and the project management teams in the 13 participating countries will support the evaluation team. The UNIDO GEF Coordinator and GEF Operational Focal Point (OFP) will be briefed on the evaluation and provide support to its conduct. GEF OFP(s) will, where applicable and feasible, also be briefed and debriefed at the start and end of the evaluation mission.

An evaluation manager from UNIDO Independent Evaluation Unit will provide technical backstopping to the evaluation team and ensure the quality of the evaluation. The UNIDO Project Manager and national project teams will act as resource persons and provide support to the evaluation team and the evaluation manager.

VII. REPORTING

Inception report

These Terms of Reference (TOR) provide information on the evaluation methodology, but this should not be regarded as exhaustive. After reviewing the project documentation and initial interviews with the project manager, the Team Leader will prepare, in collaboration with the team members, a short inception report that will operationalize the TOR relating to the evaluation questions and provide information on what type and how the evidence will be collected (methodology). It will be discussed with and approved by the responsible UNIDO Evaluation Manager.

The Inception Report will focus on the following elements: preliminary project theory model(s); elaboration of evaluation methodology including quantitative and qualitative approaches through an evaluation framework (“evaluation matrix”); Unit of work between the evaluation team members; field mission plan, including places to be visited, people to be interviewed and possible surveys to be conducted; and a debriefing and reporting timetable⁷.

Evaluation report format and review procedures

The draft report will be delivered to UNIDO Independent Evaluation Unit (with a suggested report outline) and circulated to UNIDO staff and key stakeholders associated with the project for factual validation and comments. Any comments, responses, or feedback on any errors of fact to the draft report will be sent to UNIDO’s Independent Evaluation Unit for collation and onward transmission to the evaluation team who will be advised of any necessary revisions. On the basis of this feedback, and taking into consideration the comments received, the evaluation team will prepare the final version of the terminal evaluation report.

⁶ For more information on the evaluation team composition, see UNIDO [Evaluation Manual](#).

⁷ The evaluator will be provided with a Guide on how to prepare an evaluation inception report prepared by UNIDO Independent Evaluation Unit.

The evaluation team will present its preliminary findings to the local stakeholders at the end of the field visit and take into account their feedback in preparing the evaluation report. A presentation of preliminary findings will take place at UNIDO HQ afterwards.

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

Findings, conclusions and recommendations should be presented in a complete, logical, and balanced manner. The evaluation report shall be written in English and follow the outline given by UNIDO Independent Evaluation Unit.

VIII. QUALITY ASSURANCE

All UNIDO evaluations are subject to quality assessments by UNIDO Independent Evaluation Unit. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process of UNIDO Independent Evaluation Unit, providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report by UNIDO's Independent Evaluation Unit).

The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality. The applied evaluation quality assessment criteria are used as a tool to provide structured feedback. UNIDO Independent Evaluation Unit should ensure that the evaluation report is useful for UNIDO in terms of organizational learning (recommendations and lessons learned) and is compliant with UNIDO's evaluation policy and these terms of reference. The draft and final evaluation report are reviewed by UNIDO Independent Evaluation Unit, which will submit the final report to the GEF Evaluation Office and circulate it within UNIDO together with a management response sheet.

Annex 1: Project Logical Framework

From project document (Annex A).

Interventions	Indicators	Baseline	Target	Sources of Verification	Assumptions
Project Objective	To strengthen national initiatives and enhance regional cooperation for the environmentally sound management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries				
Outcome 1.1: National policies are drafted or reviewed	# of environment policies, strategies, laws, and regulation related to e-waste approved/enacted	Lack of comprehensive national e-waste policy framework in most countries	13 countries have enacted national policies on e-waste	National Gazettes (e-waste policies, regulations, strategies, guidelines,)	Governments of all participating countries are committed to strengthen the e-waste regulatory and institutional framework in line with the requirements under the Stockholm Convention on POPs.
Output 1.1.1 National policies and regulations are drafted or reviewed	# of national e-waste policies and regulations drafted or reviewed	3 countries have national policies, 10 do not have e-waste specific policies	13 countries draft their e-waste policies and corresponding regulations or prepare amendments to them (3 of 3 countries draft amendments and 10 of 10 draft policies)	Document of newly drafted /improved policies and regulations	
Output 1.1.2 National e-waste management strategies are established	# of national e-waste strategies drafted or reviewed	Only few countries have a written strategy for e-waste management	1 strategy per country drafted or reviewed;	Documents of national e-waste management strategies drafted or reviewed	
Output 1.1.3 Guidelines for the e-waste management activities are used or	# of countries using existing/newly developed and tested guidelines	Guidelines exist, but are not fully integrated into the national	At least 6 countries use existing/newly developed and tested guidelines to establish their e-waste management strategy	References to guidelines introduced and used from the national e-	

developed and tested		implementation processes		waste management reports	
Output 1.1.4. A national financial strategy is defined within policies and regulations	# of countries with sustainable financing strategies in e-waste policies and regulations	Lack of overall financing strategies to sustain the national e-waste management system (operations, administration, monitoring, etc.)	At least 10 countries have developed a sustainable financing strategy for all aspects of the e-waste management system	National project reports or other documents pertaining the financing strategies	
Outcome 1.2 National Capacity for e-waste management is in place	# of countries with satisfactory national capacity for e-waste management (i.e. officials trained, training programs, KM and information systems) # of training participants/trainees (male/female) from involved stakeholder groups	Lack of knowledge of e-waste management and its environment and human health risks in particular, those related to POPs management	At least 10 countries possess satisfactory national capacity for e-waste management At least 1500-1700 trainees (male/female) from involved stakeholder groups are trained	National project reports (sections on capacity building for e-waste management) Participants lists	Governments of all participating countries are committed to strengthen the e-waste knowledge and proper management in their countries and within the region
Output 1.2.1 Officials and staff on e-waste management trained	# of training participants/trainees (male/female)	Lack of specific knowledge in e-waste management among officials and operational staff	At least 80% of government officials (male/female) responsible for e-waste management pass training At least 80% of staff from selected facilities involved on e-waste operations are	Meeting minutes and participants list (male/female) Training reports	

			properly trained (according to tests / assessments)		
Output 1.2.2 Selected universities include e-waste management in their curricula and research programs	# of universities providing e-waste management curricula and research programs	Lack of learning programs, research opportunities and projects on e-waste management at the university level within the region	At least 5 selected universities (within the region) have incorporated e-waste management into their curricula and research programs.	Reports on university e-waste courses / research programs linked to the project	
Output 1.2.3 National knowledge and information management systems are set and ready for regional exchange	# of national knowledge and information systems implemented # of participants in KM and information system (male/female)	Insufficient national information systems are available to enhance national and regional KM and information exchange on e-waste	At least one knowledge management and information system available, per country At least one training/workshop per country on the KM and information system totaling around 200-250 of participants (male/female) regionally	User statistics Meeting minutes and participant lists (male/female)	
Outcome 1.3. Civil society and general public is informed and aware of e-waste issues	# of awareness raising campaigns # of published articles / news items per quarter # of training participants/trainees (male/female)	Lack of awareness about e-waste management and associated risks; limited media coverage of this topic	13 awareness raising campaigns per year; At least 2 articles published / news items issued per quarter 2 trainings per country and at least 30 participants / trainees per event (male/female)	Articles, videos and/or records of TV/radio transmissions	People are interested in the e-waste topics

<p>Output 1.3.1. Media and journalists are trained on e-waste issues and informed regarding the progress of the national and regional initiatives</p>	<p># of trainings for media and journalists (male/female)</p> <p># of e-waste related contributions in audio, visual and printed media</p>	<p>Lack of knowledge on e-waste management and risks associated with human health and the environment among media and journalists</p>	<p>2 trainings per country and at least 30 participants / trainees per event (male/female)</p> <p>30 e-waste related contributions in audio, visual and printed media</p>	<p>Training materials and list of attendees;</p> <p>Press releases, articles, videos and records of radio transmissions</p>	
<p>Output 1.3.2. Awareness raising campaigns / customized events are developed to address the needs of specific target groups (i.e. children, women) and society at large</p>	<p># of awareness raising campaigns addressing the needs of all targeted groupies (male/ female)</p> <p># of gender-specific campaigns (e.g. on WEEE handling and disposal);</p> <p>#gender and children-specific information materials</p>	<p>Lack of awareness about e-waste management and risks associated with environment and human health among society and specific targeted groups</p>	<p>At least 4 awareness raising campaigns per country per year</p> <p>, including gender-related issues</p>	<p>Awareness raising materials and reports.</p>	

<p>Outcome 2.1. E-waste dismantling and recycling facilities or infrastructure are operating efficiently and sustainably in participating countries</p>	<p>POPs releases from e-waste avoided (tons)</p> <p>e-waste treated through formal recycling chains (tons per year)</p> <p><u>Co-benefits</u></p> <p>Materials recycled or reused (tons)</p> <p>Commercial value of materials recycled or reused (USD)</p>	<p>Insufficient number of dismantling facilities with proper technical and operational capacities, in particular regarding POPs management.</p> <p>The e-waste generated by the 13 participating countries represents an emission of POP-PBDE estimated between 26 and 60 tons/year</p>	<p>A minimum 10% of the regional POPs-PBDEs emissions (estimated between 2.6 to 6.0 tons/year) avoided</p> <p>90% of up-scaled facilities manage POPs in an environmentally sound manner</p> <p>60% of e-waste in each country is treated by the upgraded / scaled up facilities</p> <p>90% of up-scaled facilities fill reports on quantities of materials recycled, so its commercial value (USD) can be estimated by the project</p>	<p>Project reports, Annual declarations of recycled materials quantities</p>	<p>Existing recyclers are committed to upgrade their facilities</p>
<p>Output 2.1.1 In-depth assessments of existing facilities and infrastructure is carried out to select facilities that will be upgraded / scaled up</p>	<p># of facilities with detailed assessments</p>	<p>More than 70 formal e-waste recycling companies exist in the participating countries. A pre-selection of eligible facilities to be upgraded / scaled up within the project was done based on their level of development.</p>	<p>77 e-waste facilities are assessed in detail for their potential to be upgraded / up-scaled</p>	<p>Assessment reports</p>	

<p>Output 2.1.2 Selected facilities are upgraded to meet SC, BC and other relevant criteria, particularly addressing the separation of POPs containing e-waste fractions and other Stockholm Convention identified emission (through shredders and other usual operations) according to BAT/BEP as laid down in UNEP dioxin toolkit categories 2k and 2l</p>	<p>POPs releases avoided in e-waste (tons)</p> <p>e-waste treated by the selected facilities (tons per year)</p> <p># of facilities adopting BAT/BEP related with the environmentally sound management of POPs</p>	<p>A majority of existing facilities lack technical and operational capacities and do not pay special attention to POPs management.</p>	<p>90% of up-scaled facilities manage POPs in an environmentally sound</p> <p>60% of e-waste in each country is treated by the upgraded / scaled up facilities</p> <p>At least 25 facilities adopted BAT/BEP for POPs</p>	<p>Project reports (upgrading / scaling up of facilities)</p> <p>Audit report of facilities</p>	
<p>Output 2.1.3.</p> <p>ESM and final disposal of 600 tons of brominated plastics annually (totaling 2400 tons during the project lifespan) using BAT/BEP</p>	<p># quantity of brominated plastics disposed of</p>	<p>There are gaps with the e-waste collection system, manual dismantling and safe final disposal of BFR-plastics</p>	<p>Disposal of 600 tons of brominated plastics annually, totaling 2400 tons during the project lifespan</p>	<p>Disposal reports</p>	

<p>Output 2.1.4 Adequate business models are developed to ensure long-term sustainability of the facilities</p>	<p># of jobs created (male/female) time to break-even per recycler applying the recommended business model</p>	<p>Identified need to develop business models taking into accounts the improved framework conditions.</p>	<p>At least 90 jobs in total created at each facility 2 years maximum to break even per recycler applying the recommended business model</p>	<p>company payroll Project reports Annual financial reports Mass balance of facility</p>	
<p>Outcome 3.1 Key issues of e-waste policies are harmonized at the regional level, with due consideration of the relevant MEAs and mechanisms like SAICM</p>	<p>Key e-waste policy issues harmonized at the regional level</p>	<p>Insufficient regional coordination and harmonization of e-waste management related issues</p>	<p>Participating countries have agreed to harmonize key e-waste policy issues</p>	<p>List of identified key e-waste policy issues Review report of key e-waste issues in national policies of participating countries Meeting minutes showing agreements and/or progress regarding e-waste policy</p>	<p>Countries are willing to agree on and address key issues at the regional level</p>

				key-issue harmonization	
Output 3.1.1 Comparative analysis of existing national policies / regulations is conducted to identify key issues that need to be addressed at the regional level	Key regional issues identified through comparative analyses of existing national policies	Key issues that need to be addressed at the regional level have been started to be identified during the PPG phase	Agreement among participating countries regarding key regional issues to be tackled in the national policies	List of proposed and agreed key regional issues Meeting minutes showing agreements	
Output 3.1.2 A regional policy platform is operating to facilitate policy harmonization on key issues, with involvement of national MEAs officials	# of countries actively participating in the regional platform to harmonize their policies	No regional policy platform available at this stage.	All participating countries are actively participating in the regional platform for harmonization purposes	User statistics of policy platform	
Outcome 3.2 Knowledge management systems and information exchange are strengthened	# of countries actively participating in the regional KM and information exchange system	Limited knowledge and information sharing among Latin American countries.	All participating countries actively contribute to the regional information exchange	User statistics of the KM and information exchange system	Stakeholders provide knowledge and maintain information
Output 3.2.1 The policy platform is integrated into a	# of national policies available on regional	The existing regional knowledge / information	13 national policies are available on regional	Uploading records of the knowledge /	

regional knowledge / information management system	knowledge / information management system	system provides limited information and is not used for harmonization purposes.	knowledge / information management system	information management system	
Output 3.2.2 National knowledge / information systems are linked to the regional one	# of national documents of participating countries that are published on the regional knowledge management system	Missing information exchange between countries.	All relevant documents published at the national level within the project are available on the regional knowledge management system	Uploading records of knowledge / information management system	
Outcome 3.3 South-South cooperation is enhanced	# of jointly implemented activities	Limited South-south cooperation between the participating countries	3 jointly implemented activities in the region	Meeting Minutes, event reports	Stakeholders are willing to cooperate on a South-South level
Output 3.3.1 Country cooperation is strengthened in the region through enhanced knowledge sharing	# of regional exchange events	Limited number of regional exchange events is currently organized.	At least 5 regional events are organized throughout the project duration	Event reports	
Output 3.3.2 Regional post-project action plans and initiatives are developed	Post-project action plan(s) developed	There is a small number of isolated regional initiatives that should be better coordinated	All participating countries have at least one planned activity for the post-project phase. They decide whether or not a new regional project is warranted.	Post-project plan documents	

Annex 2: Job descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE FOR PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

Title:	Senior Evaluation Consultant, Team Leader
Main Duty Station and Location:	Home-based
Missions:	Travel to project sites within LAC region (countries to be determined during inception)
Start of Contract (EOD):	July 2024 (exact dates tbd)
End of Contract (COB):	November 2024 (exact dates tbd)
Contract Type:	When actually employed (WAE)
Number of Working Days:	35 working days spread over the above mentioned period

1. ORGANIZATIONAL CONTEXT

The United Nations Industrial Development Organization (UNIDO) is the specialized agency of the United Nations that promotes industrial development for poverty reduction, inclusive globalization and environmental sustainability. The mission of UNIDO, as described in the Lima Declaration adopted at the fifteenth session of the UNIDO General Conference in 2013 as well as the Abu Dhabi Declaration adopted at the eighteenth session of UNIDO General Conference in 2019, is to promote and accelerate inclusive and sustainable industrial development (ISID) in Member States. The relevance of ISID as an integrated approach to all three pillars of sustainable development is recognized by the 2030 Agenda for Sustainable Development and the related Sustainable Development Goals (SDGs), which will frame United Nations and country efforts towards sustainable development. UNIDO's mandate is fully recognized in SDG-9, which calls to "Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation". The relevance of ISID, however, applies in greater or lesser extent to all SDGs. Accordingly, the Organization's programmatic focus is structured in four strategic priorities: Creating shared prosperity; Advancing economic competitiveness; Safeguarding the environment; and Strengthening knowledge and institutions.

Each of these programmatic fields of activity contains a number of individual programmes, which are implemented in a holistic manner to achieve effective outcomes and impacts through UNIDO's four enabling functions: (i) technical cooperation; (ii) analytical and research functions and policy advisory services; (iii) normative functions and standards and quality-related activities; and (iv) convening and partnerships for knowledge transfer, networking and industrial cooperation. Such core functions are carried out in Departments/Offices in its Headquarters, Regional Offices and Hubs and Country Offices.

The UNIDO Independent Evaluation Unit (EIO/IEU) is responsible for the independent evaluation function of UNIDO. It supports learning, continuous improvement and accountability, and provides evidence-based analysis and assessment on result and practices that feed into the programmatic and strategic decision-making processes. Independent evaluations provide credible, reliable and useful assessment that enables the timely incorporation of findings, recommendations and lessons learned into the decision-making processes at organization-wide, programme and project level. EIO/IEU is guided by the UNIDO Evaluation Policy, which is aligned to the norms and standards for evaluation in the UN system.

2. PROJECT CONTEXT

Detailed background information of the project can be found the terms of reference (TOR) for the terminal evaluation.

The Senior Evaluation Consultant, Team Leader, will evaluate the project in accordance with the evaluation-related terms of reference (TOR). S/he will perform, inter alia, the following main tasks:

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
<p>Desk review & data analysis:</p> <p>Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data).</p> <p>Define technical issues and questions to be addressed by the national technical evaluator prior to the field visit.</p> <p>Determine key data to collect in the field and adjust the key data collection instrument, if needed.</p> <p>In coordination with the project manager, the project management team and evaluation team members, develop a meeting schedule and list of stakeholders to be interviewed online or in person.</p>	<ul style="list-style-type: none"> • Key evaluation questions and an evaluation matrix • Draft list of stakeholders to be interviewed • Suitable site identified and data collection plan prepared • Workplan and responsibilities for each team member • Issues and questions to be addressed by the technical expert • Key stakeholder online meeting minutes 	4 days	Home-based, online
<p>Inception phase:</p> <p>Based on consultations with the project management team and funding partner representatives, identify the key evaluation questions and prioritize evaluation criteria to be assessed in depth.</p> <p>Prepare an inception report summarizing these expectations and identify the methods to be used and data to be collected, confirm the evaluation methodology, draft a theory of change, and provide a tentative workplan.</p>	<ul style="list-style-type: none"> • Draft inception report, incl. theory of change and evaluation framework for clearance by IEU • Guidance to the evaluation team to prepare output analysis and technical inputs 	3 days	Home based, online

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
Provide guidance to the evaluation team to prepare initial draft of output analysis and review technical inputs prepared by evaluation team members, prior to conducting interviews.			
<p>Interviews, surveys and literature review, incl. field mission to selected country/-ies ⁸:</p> <p>Lead field missions to selected countries to consult with stakeholders, partners (incl. the GEF Operational Focal Point (OFP)), and beneficiaries; conduct interviews online and in person, as feasible.</p> <p>Conduct survey, if deemed useful.</p> <p>Conduct additional literature review, if necessary.</p>	<ul style="list-style-type: none"> • Records of meetings with relevant project stakeholders • Agreement with the evaluation team on the structure and content of the evaluation report and the distribution of writing tasks; • Evaluation presentation of the evaluation’s preliminary findings, conclusions and recommendations to stakeholders in the countries, including the GEF OFP, at the end of the missions • After field missions: Presentation slides, feedback from stakeholders obtained and discussed • Report outline 	14 days	Home based, selected countries, online
<p>Data analysis & report writing:</p> <p>Coordinate and review the inputs from the evaluation team and draft the evaluation report.</p> <p>Share the evaluation report with UNIDO project management team, funding partner representatives and national stakeholders for feedback and comments.</p> <p>Present overall findings, conclusions and recommendations to the stakeholders in a debriefing meeting.</p>	<ul style="list-style-type: none"> • Draft evaluation report 	12 days	Home-based, online

⁸ The countries will be selected during the inception phase, exact mission dates will be decided in agreement with the Consultant, UNIDO HQ, and the country counterparts.

MAIN DUTIES	Concrete/ Measurable Outputs to be achieved	Working Days	Location
<p>Report finalization and submission: Revise the draft project evaluation report based on verifiable verbal and written comments from key evaluation stakeholders. Conduct final edit of language and form according to UNIDO standards and submit report to IEU evaluation manager.</p>	<ul style="list-style-type: none"> Final evaluation report 	2 days	Home-based
<p>Team leading Coordinate and supervise the work of the evaluation team.</p>	<ul style="list-style-type: none"> Team performance 	Throughout	n/a

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education:

Advanced university degree (master's or equivalent) in economics, engineering, sciences, agro-industries, environment, business administration, development studies or other relevant discipline is **required**.

Technical and functional experience:

- Minimum of 10 years' experience in evaluation of development projects and programmes at international level, including 5 years at senior level is required.
- Experience in leading and conducting high-level, strategic or complex evaluations for UN organizations and international development banks/organizations.
- Knowledge of TC programme/project management cycle, design, implementation and M&E is desirable.
- Knowledge about multilateral technical cooperation and the UN, international development priorities and frameworks.
- Knowledge about multilateral technical cooperation and the UN, international development priorities, and frameworks.
- Familiarity with social and environmental analysis, tools and methodologies is an asset.
- Experience in evaluating GEF projects and knowledge about GEF operational programs and strategies and about relevant GEF policies such as those on project life cycle, M&E, incremental costs, and fiduciary standards is an asset.
- Familiarity with gender analysis tools and methodologies is an asset
- Experience in the needs, conditions and problems in developing countries, particularly in Latin America and the Caribbean is desirable.

Languages:

Fluency in written and spoken English is required. All reports and related documents must be in English and presented in electronic format. Working knowledge of Spanish is required.

Absence of conflict of interest:

According to UNIDO rules, the consultant must not have been involved in the design and/or implementation, supervision, and coordination of and/or have benefited from the programme/project (or theme) under

evaluation. The consultant will be requested to sign a declaration that none of the above situations exists and that the consultants will not seek assignments with the manager/s in charge of the project before the completion of her/his contract with the UNIDO Independent Evaluation Unit.

REQUIRED COMPETENCIES

Core values:

WE LIVE AND ACT WITH INTEGRITY: work honestly, openly, and impartially.

WE SHOW PROFESSIONALISM: work hard and competently in a committed and responsible manner.

WE RESPECT DIVERSITY: work together effectively, respectfully, and inclusively, regardless of our differences in culture and perspective.

Core competencies:

WE FOCUS ON PEOPLE: cooperate to fully reach our potential –and this is true for our colleagues as well as our clients. Emotional intelligence and receptiveness are vital parts of our UNIDO identity.

WE FOCUS ON RESULTS AND RESPONSIBILITIES: focus on planning, organizing, and managing our work effectively and efficiently. We are responsible and accountable for achieving our results and meeting our performance standards. This accountability does not end with our colleagues and supervisors, but we also owe it to those we serve and who have trusted us to contribute to a better, safer and healthier world.

WE COMMUNICATE AND EARN TRUST: communicate effectively with one another and build an environment of trust where we can all excel in our work.

WE THINK OUTSIDE THE BOX AND INNOVATE: To stay relevant, we continuously improve, support innovation, share our knowledge and skills, and learn from one another.



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE FOR PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

Title:	Regional evaluation consultant
Main Duty Station and Location:	Home-based
Mission/s to:	Travel to project sites within LAC region [country/-ies to be selected during inception]
Start of Contract:	[July 2024 (exact dates tbd)]
End of Contract:	[November 2024 (exact dates tbd)]
Contract Type:	When actually employed (WAE)
Number of Working Days:	25 days spread over the above mentioned period

ORGANIZATIONAL CONTEXT

The United Nations Industrial Development Organization (UNIDO) is the specialized agency of the United Nations that promotes industrial development for poverty reduction, inclusive globalization and environmental sustainability. The mission of UNIDO, as described in the Lima Declaration adopted at the fifteenth session of the UNIDO General Conference in 2013 as well as the Abu Dhabi Declaration adopted at the eighteenth session of UNIDO General Conference in 2019, is to promote and accelerate inclusive and sustainable industrial development (ISID) in Member States. The relevance of ISID as an integrated approach to all three pillars of sustainable development is recognized by the 2030 Agenda for Sustainable Development and the related Sustainable Development Goals (SDGs), which will frame United Nations and country efforts towards sustainable development. UNIDO's mandate is fully recognized in SDG-9, which calls to "Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation". The relevance of ISID, however, applies in greater or lesser extent to all SDGs. Accordingly, the Organization's programmatic focus is structured in four strategic priorities: Creating shared prosperity; Advancing economic competitiveness; Safeguarding the environment; and Strengthening knowledge and institutions.

Each of these programmatic fields of activity contains a number of individual programmes, which are implemented in a holistic manner to achieve effective outcomes and impacts through UNIDO's four enabling functions: (i) technical cooperation; (ii) analytical and research functions and policy advisory services; (iii) normative functions and standards and quality-related activities; and (iv) convening and partnerships for knowledge transfer, networking and industrial cooperation. Such core functions are carried out in Departments/Offices in its Headquarters, Regional Offices and Hubs and Country Offices.

The UNIDO Independent Evaluation Unit (EIO/IEU) is responsible for the independent evaluation function of UNIDO. It supports learning, continuous improvement and accountability, and provides evidence-based analysis and assessment on result and practices that feed into the programmatic and strategic decision-making processes. Independent evaluations provide credible, reliable and useful assessment that enables the timely incorporation of findings, recommendations and lessons learned into the decision-making processes at organization-wide, programme and project level. EIO/IEU is guided by the UNIDO Evaluation Policy, which is aligned to the norms and standards for evaluation in the UN system.

PROJECT CONTEXT

Detailed background information of the project can be found the terms of reference (TOR) for the terminal evaluation.

The regional evaluation consultant will evaluate the projects according to the terms of reference (TOR) under the leadership of the team leader (Senior Evaluation Consultant). S/he will perform the following tasks:

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
<p>Desk review & data analysis:</p> <p>Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data).</p> <p>Define technical issues and questions to be addressed from a national/regional point of view and advise the team leader.</p>	<ul style="list-style-type: none"> • Draft list of stakeholders to be interviewed • Workplan and responsibilities for each team member; list of key issues and questions for consideration by the team leader • Key stakeholder online meeting minutes 	4 days	Home-based
<p>Inception phase:</p> <p>Based on consultations with the project management team and funding partner representatives, provide inputs to the team leader on key evaluation questions.</p> <p>Based on guidance from team leader prepare initial draft of output analysis.</p>	<ul style="list-style-type: none"> • Output analysis and technical inputs 	2 days	Home-based, online
<p>Interviews, surveys and literature review incl. field mission to selected country/-ies⁹:</p> <p>Conduct field missions to selected countries to consult with stakeholders, partners and beneficiaries; conduct interviews online and in person, as feasible.</p>	<ul style="list-style-type: none"> • Conduct meetings with relevant project stakeholders, beneficiaries, the GEF Operational Focal Point (OFP), etc. for the collection of data and clarifications; • Provide inputs on the structure and content of the 	14 days (including travel days)	Home-based, online, local travel, regional

⁹ The countries will be selected during the inception phase, exact mission dates will be decided in agreement with the Consultant, UNIDO HQ, and the country counterparts.

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
	evaluation report and the distribution of writing tasks; <ul style="list-style-type: none"> • Evaluation presentation of the evaluation's preliminary findings, conclusions and recommendations to stakeholders in the country, including the GEF OFF, at the end of the mission. • After field mission(s): Presentation slides, feedback from stakeholders obtained and discussed • Inputs to report outline • Individual interview summaries • Technical inputs and observations emanating from interviews 		travel if needed
Data analysis & reporting: Follow up with stakeholders regarding additional information promised during interviews. Present overall findings, conclusions and recommendations to the stakeholders at UNIDO HQ in a debriefing meeting.	<ul style="list-style-type: none"> • Inputs to draft evaluation report 	5 days	Home-based, online

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education: Advanced university degree (master's or equivalent) in economics, engineering, sciences, agro-industries, environment, business administration, development studies or other relevant discipline is **required**.

Technical and functional experience:

- Minimum of seven (7) years' experience in evaluation of development projects and programmes at international level is required.
- Competency in the field of Chemicals, Persistent Organic Pollutants (POPs) or related field desirable.
- Evaluation experience, including evaluation of development cooperation in developing countries is an asset.
- Knowledge of TC programme/project management cycle, design, implementation and M&E is desirable.
- Knowledge about multilateral technical cooperation and the UN, international development priorities and frameworks is desirable.
- Experience in evaluating GEF projects and knowledge about GEF operational programs and strategies and

about relevant GEF policies such as those on project life cycle, M&E, incremental costs, and fiduciary standards is an asset.

- Experience in the needs, conditions and problems in developing countries, particularly Latin America and the Caribbean, is desirable.
- Familiarity with social and environmental analysis, tools and methodologies is an asset.
- Familiarity with gender analysis tools and methodologies and asset.

Languages: Fluency in written and spoken English and Spanish is required.

Absence of conflict of interest:

According to UNIDO rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project (or theme) under evaluation. The consultant will be requested to sign a declaration that none of the above situations exists and that the consultants will not seek assignments with the manager/s in charge of the project before the completion of her/his contract with the UNIDO Independent Evaluation Unit.

REQUIRED COMPETENCIES

Core values:

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UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE FOR PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

Title:	Regional technical expert on chemicals
Main Duty Station and Location:	Home-based
Mission/s to:	Potentially travel to project sites within LAC region [country/-ies to be selected during inception]
Start of Contract:	[July 2024 (exact dates tbd)]
End of Contract:	[November 2024 (exact dates tbd)]
Contract Type:	When actually employed (WAE)
Number of Working Days:	20 days spread over the above mentioned period

ORGANIZATIONAL CONTEXT

The United Nations Industrial Development Organization (UNIDO) is the specialized agency of the United Nations that promotes industrial development for poverty reduction, inclusive globalization and environmental sustainability. The mission of UNIDO, as described in the Lima Declaration adopted at the fifteenth session of the UNIDO General Conference in 2013 as well as the Abu Dhabi Declaration adopted at the eighteenth session of UNIDO General Conference in 2019, is to promote and accelerate inclusive and sustainable industrial development (ISID) in Member States. The relevance of ISID as an integrated approach to all three pillars of sustainable development is recognized by the 2030 Agenda for Sustainable Development and the related Sustainable Development Goals (SDGs), which will frame United Nations and country efforts towards sustainable development. UNIDO's mandate is fully recognized in SDG-9, which calls to "Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation". The relevance of ISID, however, applies in greater or lesser extent to all SDGs. Accordingly, the Organization's programmatic focus is structured in four strategic priorities: Creating shared prosperity; Advancing economic competitiveness; Safeguarding the environment; and Strengthening knowledge and institutions.

Each of these programmatic fields of activity contains a number of individual programmes, which are implemented in a holistic manner to achieve effective outcomes and impacts through UNIDO's four enabling functions: (i) technical cooperation; (ii) analytical and research functions and policy advisory services; (iii) normative functions and standards and quality-related activities; and (iv) convening and partnerships for knowledge transfer, networking and industrial cooperation. Such core functions are carried out in Departments/Offices in its Headquarters, Regional Offices and Hubs and Country Offices.

The UNIDO Independent Evaluation Unit (EIO/IEU) is responsible for the independent evaluation function of UNIDO. It supports learning, continuous improvement and accountability, and provides evidence-based analysis and assessment on result and practices that feed into the programmatic and strategic decision-making processes. Independent evaluations provide credible, reliable and useful assessment that enables the timely incorporation of findings, recommendations and lessons learned into the decision-making processes at organization-wide, programme and project level. EIO/IEU is guided by the UNIDO Evaluation Policy, which is aligned to the norms and standards for evaluation in the UN system.

PROJECT CONTEXT

Detailed background information of the project can be found the terms of reference (TOR) for the terminal evaluation.

The regional technical expert on chemicals will evaluate the projects according to the terms of reference (TOR) under the leadership of the team leader (Senior Evaluation Consultant). S/he will perform the following tasks:

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
<p>Desk review & data analysis: Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data). Define technical issues and questions to be addressed from a national/regional point of view and advise the team leader.</p>	<ul style="list-style-type: none"> • Draft list of stakeholders to be interviewed • Workplan and responsibilities for each team member. List of technical key issues and questions for consideration by team leader • Key stakeholder online meeting minutes 	4 days	Home-based
<p>Inception phase: Based on consultations with the project management team and funding partner representatives, provide inputs to the evaluation team on technical key evaluation questions. Prepare initial draft of output analysis.</p>	<ul style="list-style-type: none"> • Output analysis and technical inputs 	2 days	Home-based, online
<p>Interviews, surveys and literature review incl. field mission to selected country/-ies ¹⁰: Conduct interviews online and in person, where feasible.</p>	<ul style="list-style-type: none"> • Individual interview summaries • Technical inputs and observations emanating from interviews 	10 days (including travel days)	Home-based, online, local travel, regional

¹⁰ The countries will be selected during the inception phase, exact mission dates will be decided in agreement with the Consultant, UNIDO HQ, and the country counterparts.

<u>MAIN DUTIES</u>	Concrete/measurable outputs to be achieved	Expected duration	Location
			travel if needed
<p>Data analysis & reporting: Follow up with stakeholders regarding additional information promised during interviews.</p> <p>Present overall findings, conclusions and recommendations to the stakeholders at UNIDO HQ in a debriefing meeting.</p>	<ul style="list-style-type: none"> • Inputs to draft evaluation report 	4 days	Home-based, online

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education: Advanced university degree (master’s or equivalent) in chemistry, environmental science, engineering or other relevant discipline.

Technical and functional experience:

- At least seven (7) years of professional experience in the field of Chemicals, Persistent Organic Pollutants (POPs) or related field is required.
- Evaluation experience, including evaluation of development cooperation in developing countries, is an asset.
- Exposure to the development needs, conditions and challenges, particularly in Latin America and the Caribbean, an asset.
- Familiarity with gender analysis tools and methodologies and asset.
- Familiarity with the institutional context of the project is desirable.

Languages: Fluency in written and spoken English and Spanish is required.

Absence of conflict of interest:

According to UNIDO rules, the consultant must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project (or theme) under evaluation. The consultant will be requested to sign a declaration that none of the above situations exists and that the consultants will not seek assignments with the manager/s in charge of the project before the completion of her/his contract with the UNIDO Independent Evaluation Unit.

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Annex 3: Outline of an in-depth project evaluation report

Abstract

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Acknowledgements

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Annex 4: Quality checklist

Quality criteria		UNIDO EIO/IEU assessment notes	Rating
1	The inception report is well-structured, logical, clear, and complete.		
2	The evaluation report is well-structured, logical, clear, concise, complete and timely.		
3	The report presents a clear and full description of the 'object' of the evaluation.		
4	The evaluation's purpose, objectives, and scope are fully explained.		
5	The report presents a transparent description of the evaluation methodology and clearly explains how the evaluation was designed and implemented.		
6	Findings are based on evidence derived from data collection and analysis, and they respond directly to the evaluation criteria and questions.		
7	Conclusions are based on findings and substantiated by evidence and provide insights pertinent to the object of the evaluation.		
8	Recommendations are relevant to the object and purpose of the evaluation, supported by evidence and conclusions, and developed with the involvement of relevant stakeholders.		
9	Lessons learned are relevant, linked to specific findings, and replicable in the organizational context.		
10	The report illustrates the extent to which the evaluation addressed issues pertaining to a) gender mainstreaming, b) human rights, and c) environmental impact.		
<p><u>Rating system for quality of evaluation reports</u></p> <p>A number rating of 1-6 is used for each criterion: Highly satisfactory = 6, Satisfactory = 5, Moderately satisfactory = 4, Moderately unsatisfactory = 3, Unsatisfactory = 2, Highly unsatisfactory = 1, and unable to assess = 0.</p>			