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Independent terminal evaluation

Development of the guidelines for updating of National implementation plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the convention.

UNIDO project number: GF/GLO/11/013

GEF project number: 4410

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UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION
Vienna, 2015

Distr. GENERAL

ODG / EVA/ 15/R.9

Original: English

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Contents

Acknowledgements	vi
Abbreviations and acronyms	vii
Glossary of evaluation related terms	viii
Executive Summary	ix
1. Introduction	1
1.1 Evaluation subject and purpose	1
1.2 Key evaluation issues	1
1.3 Evaluation methodology	1
1.4 Limitations	2
2. Project Background	4
2.1 Project context	4
2.2 Sector specific issues of concern to the project	5
2.3 Project summary	6
2.3.1. Fact sheet of project	6
2.3.2 Project description	7
2.3.3 Project implementation arrangements	10
2.3.4 Positioning of the UNIDO project	11
2.3.5 Counterpart organizations	11
3. Project assessment	13
3.1. Project design	13
3.2. Project relevance	14
3.3. Effectiveness	15
3.4. Efficiency	17
3.5. Assessment of sustainability of outcomes	24
3.6. Assessment of monitoring and evaluation systems	26
3.7. Monitoring of long-term changes	28
3.8. Assessment of processes affecting achievement of project results	28
3.9. Project coordination and management	29
3.10. Assessment of gender mainstreaming	30
3.11. Procurement issues	30
4. Conclusions, recommendations and lessons learnt	35
4.1. Conclusions	35
4.2. Recommendations	38
4.3. Lessons learned	39
Annexes	40
Annex 1: List of people interviewed	41
Annex 2: Documents consulted	42
Annex 3: Evaluation matrix	43
Annex 4: Screen shot of the website of the Stockholm Convention showing guidance documents developed under outcome 1 of this project	48
Annex 5: Achievement of project outputs and outcomes based on project results framework	50
Annex 6: Project dates, Project framework, Co-financing	54
Annex 7: Terms of reference	60

Tables	
Table 1: Evaluation matrix	2
Table 2: Project fact sheet	6
Table 3: Current status of guidance documents	16
Table 4: Workshop carried out under UNITAR subcontract	20
Table 5: Overall rating	31
Table 6: Project dates	54
Table 7: Project framework	54
Table 8: Co-financing	56
Table 9: Comparison co-financing indicated in project document and co-financing figures submitted to evaluation	57

Acknowledgements

We would like express our gratitude and special thanks to all those persons involved in planning and realizing the evaluation. We also gratefully acknowledge the contributions of all those who made time free for interviews and provided comments, information and documents.

We hope that the presented conclusions and recommendations will contribute to the continuous improvement of the project and to the achievement of the expected results.

Abbreviations and acronyms

BAT	Best Available Technologies
BEP	Best Environmental Practices
COP	Congress of the Parties
CSIR-NEERI	Council of Scientific and Industrial Research – National Environmental Engineering Research Institute
EEE	Electronic and electrical equipment
EU	European Union
GEF	Global Environment Facility
HQ	Headquarters
IA	Implementing Agent
MEA	Multilateral Environmental Agreement
MTR	Mid-Term Review
MSP	Medium Sized Project
NORAD	Norwegian Agency for Development
OVI	Objectively Verifiable Indicator
POP-PBDE	Persistent organic pollutants-polybrominated diphenyl ethers
PFOS	Perfluorooctane Sulfonates
RCC	Regional Coordination Committees
RECETOX	Research Centre for Toxic Compounds in the Environment
SC	Stockholm Convention
SETAC	Society of Environmental Toxicology and Chemistry
SMART	Specific, measurable, achievable, realistic and time constrained
SQAM	Standardisation, Quality Assurance, Accreditation & Metrology
SSC	Secretariat of the Stockholm Convention
SCU	Stockholm Convention Unit
TOR	Terms of Reference
ToT	Training of Trainers
TPT	Technical Project Team
UNDP	United Nation's Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UNS	United Nations System
uPOPs	Unintentionally produced POPs
WEEE	Waste of electronic and electrical equipment
WEOG	Western European and Others Group

Glossary of evaluation related terms

Term	Definition
Baseline	The situation, prior to an intervention, against which progress can be assessed.
Effect	Intended or unintended change due directly or indirectly to an intervention.
Effectiveness	The extent to which the objectives of a development intervention were or are expected to be achieved.
Efficiency	A measure of how economically inputs (through activities) are converted into outputs.
Impact	Positive and negative, intended and non-intended, directly and indirectly, long term effects produced by a development intervention.
Indicator	Quantitative or qualitative factors that provide a means to measure the changes caused by an intervention.
Intervention	An external action to assist a national effort to achieve specific development goals.
Lessons learned	Generalizations based on evaluation experiences that abstract from specific to broader circumstances.
Logframe (logical framework approach)	Management tool used to guide the planning, implementation and evaluation of an intervention. System based on MBO (management by objectives) also called RBM (results based management) principles.
Outcomes	The achieved or likely effects of an intervention's outputs.
Outputs	The products in terms of physical and human capacities that result from an intervention.
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donor's policies.
Risks	Factors, normally outside the scope of an intervention, which may affect the achievement of an intervention's objectives.
Sustainability	The continuation of benefits from an intervention, after the development assistance has been completed.
Target groups	The specific individuals or organizations for whose benefit an intervention is undertaken.

Executive summary

The evaluated project GF/GLO/11/013, a medium-sized global GEF project, was one of extremely high relevance for all project partners: GEF, UNIDO, the Secretariat of the Stockholm Convention, UNITAR and the Parties to the Convention.

The evaluation was conducted by Ms. Kadidja Hildebrandt, independent international evaluation consultant.

The project was within the GEF focal area 'Chemicals', and more specifically with the strategic objectives of the Persistent Organic Pollutants (POPs) sub-area. By funding this project, GEF ensured that the Stockholm Convention process would not suffer delays, bearing in mind that the COP-4 (2009) introduced nine new POPs which, according to the Convention mechanism, required the preparation of new guidance documents within two years.

Key findings

For the Secretariat of the Stockholm Convention this project was essential in order to have the guidelines developed with a corresponding training component, because the Parties to the Convention needed to be able to prepare their second National Implementation Plans (NIPs) for the COP 2013.

For UNIDO, this project touched upon one of the core competencies within the organization in regard to the industrial chemicals and cleaner production focus areas. Specifically in the area of the reduction of Persistent Organic Pollutants (POPs), UNIDO has acquired sound experience and has established relevant contacts with industry. UNIDO was therefore a well-suited partner to address the phase-out, reduction and replacement of the nine new POPs, as most of them are industrial chemicals. The implementation of this project further consolidated UNIDO's expertise in this field and also its cooperation with the Secretariat of the Stockholm Convention and UNITAR.

The eight guidance documents underwent several validation processes. Many highly specialized consultants contributed to them; stakeholders in countries of transition and developing countries tested them, and a peer review was conducted. This feedback was used to review and develop a second version of the documents.

One merit of this project was the careful selection of consultants as it set the quality scale high from the outset. A second element that contributed to the quality of the guidance documents was to have complemented the work of the lead authors by involving reputable specialists in sub-areas of some of the guidance documents, many of them working on cost-free basis. A third element was the validation process of the guidance documents within countries in order to test both the guidance documents and the corresponding training modules. The feedback received, although less than expected, served as a 'reality check' in developing countries and countries in transition, to determine whether the guidance was applicable. Finally, the peer review of the documents by some 50

persons from academia, industry and the public sector proved to be the key quality assurance process, making the guidance documents more robust.

The project management team, consisting of UNIDO and the Secretariat of the Stockholm convention and UNITAR, were able to make up for some of the initial delays (arising from late endorsement by GEF) by truncating some of the training and validation activities. Therefore the validation workshops did not provide as much feedback as had been expected.

By focusing on the guidance documents, they could be submitted to the Secretariat in June 2012, in time for the COP in 2013. At the COP-6, parties 'encouraged' countries to use the guidance' and recommended a further review. Therefore most of the guidance documents are still in their draft version on the SSC's website.

Overall, the guidance documents have passed the 'reality' test and are being used by countries to prepare their first NIPs, as well as to update their NIPs and to develop follow-up projects. One of the guidance documents was substantially updated in 2014. All other guidance documents have only been slightly amended since 2012.

One shortcoming was the output-oriented project design that did not spell out how the outputs would lead to improvements in countries (outcomes). Some activities were not carried out such as the consolidation of all training modules into one 'package' and the establishment of a data base.

Due to a complex implementation arrangement, the team building process took time; the assignment of roles and responsibilities in the first months was difficult because the team was still in the process of finding the best 'approach' to tackling this complex task. Indeed, the project's complexity was possibly underestimated at the outset of the project. Once the approach was clear, documented and understood, the guidance documents were smoothly and speedily developed, making up for some of the initial delays.

The project management's orientation was entirely quality-oriented. A formal project monitoring system was not in place. For some phases a work plan existed, but not for others. Information on certain aspects of the project seems to be dispersed among project staff/partners, while confirmed information seems to reside centrally with the project manager. At times, simple management questions could not be answered by the project management. Several major unplanned activities were carried out without this being documented. A formal project review was never made. The relatively little emphasis on formal project management and documentation, rendered it difficult to reconstruct the decision-making process among project partners. The lack of a formal monitoring and evaluation system was compensated by strong commitment and sound expertise among all contributors to the project.

The role of the SSC in steering the project was important, as it provided guidance and experience. It seems that the management of the co-financing was performed by the SSC and rather than by the project manager.

The evaluation recommendations of the Mid-Term Review were fully accepted and implemented in that further training was conducted through a Training of Trainers workshop and also by integrating training into the NIP update projects.

Overall, this project ranks very high in relevance and effectiveness due to the outstanding commitment by all project partners and contributors.

Key recommendations and lessons learned

Recommendations to UNIDO:

In view of the wide application of the deliverables and their effect on the implementation of the Convention, it is recommended that in projects of this type, at least one peer review process be included so as to avoid bias, improve the quality of the deliverables and to enhance transparency.

It is recommended that project documents and correspondence be archived in a way that is independent of project staff's roles, so that information and data can be found easily. For evaluations, project information should be made accessible from the outset.

Recommendations to GEF:

GEF projects that are highly relevant for the further proceedings of a Convention mechanism, and that are as tightly linked in their timeline to the COP mechanism, as it was the case in this project, should undergo an accelerated endorsement process in GEF in order not to slow down the Convention's proceedings.

GEF Scientific and Technical Advisory Panel (STAP) should play a more active role in the peer review phase of this type of projects of high relevance for the Convention and for GEF.

1. Evaluation objectives, methodology and process

1.1 Evaluation subject and purpose

The subject of the evaluation is the medium-sized GEF project GF/GLO/11/013 'Development of the Guidelines for the updating of National Implementation Plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention'. The purpose of this evaluation is to distil lessons learnt from this project on its relevance, efficiency and effectiveness, sustainability of results and replicability, for potential application to similar and related projects. In addition the evaluation will focus on the follow-up of the recommendations made in the Mid-Term Review 2012. Specifically, the evaluation will assess:

- project implementation, including the project design, project management and coordination, and the follow-up of recommendations of the mid-term evaluation in fall 2012,
- sustainability of project results
- project relevance

The evaluation will cover the entire time span of the project.

1.2 Key evaluation issues

Due to the fact that an extensive Mid-Term Review (MTR) was conducted in 2012, this Terminal Evaluation (TE) will put particular focus on the activities carried out since then, as well as on the follow-up of the MTR recommendations and the sustainability of project results and lessons learnt.

- To what extent has the project coordination and management ensured the guidance documents to be fit-for-purpose and to be used in a variety of countries?
- To what extent can the project's results be sustained beyond project closure?

1.3 Evaluation methodology

The evaluation is conducted by one independent evaluation consultant. The evaluation framework (see below) was based on the evaluation criteria (see annex 7 for TOR). All documents available and screened are listed in annex 2. These include, in addition to various project-related documents, recent evaluations, relevant to this evaluation, such as the Cluster Evaluation of UNIDO projects 'Enabling activities to review and update the NIPs for the Stockholm Convention on POPs' and the Mid-term Review conducted in 2012 of this project.

Table 1: Evaluation matrix

Evaluation criteria	Document analysis			Interviews		
	Project documents/ minutes/ subcontracts	Guidance document/ training package	Reports Project/ workshops	Project staff/ SCC	Drafter/ UNITAR	Users/ consultants
Project design	X			X		
Relevance	X			X	X	X
Efficiency	X		X	X	X	
Effectiveness		X	X			X
Sustainability/ monitoring long-term changes	X	X	X	X	X	X
Project management. monitoring and evaluation	X			X	X	
Gender mainstreaming	X	X	X	X		
Procurement issues	X			X		

While project-related-documents represented a basis for the evaluation, they did not always provide an accurate account of the actual activities, as some vital decisions were not documented and a formal project amendment was not done. Therefore interviews were an important complementary source of information.

Therefore the interviews presented an important information source, to fill in some of the gaps. A comprehensive evaluation matrix, which served as a basis for the interview guides, can be found in annex 3.

1.4 Limitations

Independent access to electronic or hard copy project files was not provided. The provision of documents was at times cumbersome. Project-related documents were not well archived and dispersed among several staff members, despite a highly centralized work structure. The availability of project documentation was not optimal, also due to a lack of systematic archiving. Therefore the search for documents consumed more time than initially expected. However, the evaluation consultant was able to assess a wide range of documents related to the project, made available by project staff upon request. Correspondence between the project partners was not examined in detail.

Several findings made in the Mid-term review could not be confirmed on the basis of the documents analysed or on the basis of interviews (see annex 1), despite a considerable overlap of interviewees between the two reviews.

Not all project stakeholders were readily available for an interview. One key stakeholder stated that he no longer remembered; others stated that they had had little to do with the project. The evaluation consultant had to contact two interviewees again to obtain an interview.

It would have been preferable to have had access to a Monitoring and Evaluation system. In-depth interviews were held with relevant project staff and consultants contributing to the project. Current users of the guidelines were also interviewed where possible. Interviews with the SSC were done in person during a one-day mission to Geneva. All interviews had a specific guideline according to the interviewee's role in the project.

2. Project background

2.1. Project context

The Stockholm Convention (SC), hereafter also referred to as the Convention, on Persistent Organic Pollutants (POPs) was adopted in May 2001 with the objective of protecting human health and the environment from toxic and hazardous POPs. The Convention entered into force on 17 May 2004 - initially listing twelve chemicals as POPs - and has since been ratified by 179 Parties.

At its 4th meeting of the Conference of Parties (COP) in May 2009, the Stockholm Convention was amended to include nine 'new POPs'¹ to annex A, B and C of the convention, as per recommendation of the POPs Review Committee (POPRC).

According to Article 7 of the Convention, Parties to the Convention are required to submit an updated National Implementation Plan (NIP) to the COP within two years of the date of entry into force of the amendments (which is August 2012) for the nine new POPs., *'requesting the Secretariat to continue developing guidance under paragraph 5 of the decision SC-1/12, taking into consideration the particular circumstances of developing countries and countries with economies in transition.'* The current project's timeline was therefore intricately tied to the COP's timelines. The NIPs were expected to include action plans for addressing the nine new POPs in all sectors of occurrence, and to propose means of phasing them out, and of eliminating and disposing of them.

The nine 'new POPs' additionally listed during the COP-4 (2009) were considered 'live chemicals', as most of them are still found in products, and are still produced in large quantities in a very few countries. By contrast, the 12 first chemicals listed were considered 'dead' chemicals as they had been largely phased out already. The new POPs can be found in every-day consumer articles such as furniture, electronic devices, vehicles (car seats), but some are used in the health sector and in agriculture (pesticides). Hence, it was foreseeable that the amendment to the Convention would have a large effect on some industries.

The existing guidelines did not provide sufficient and specific guidance to Parties necessary to fulfil their obligations under the Convention with regard to the nine new POPs. The main difficulty indicated by Parties was how to obtain information on the new POPs, especially concerning three groups of widely used industrial chemicals: commercial mixtures of pentabromodiphenyl ether and octabromodiphenyl ether (BDEs), and perfluorooctane sulfonates (PFOS).

The general guidance document needed a mere update. By contrast, the BAT/BEP guidance documents covered new ground by proposing alternatives.

¹ alpha- and beta hexachlorocyclohexane (by-products); lindane and chlordecone (pesticides); tetra- and hexabromodiphenyl ether, hexabromobiphenyl, pentachlorobenzene, perfluorooctane sulfonic acid and perfluorooctane sulfonyl fluoride (industrial chemicals).

Under this project the new guidance package was developed in parallel with a corresponding training package. Both, guidance documents and training components were to be validated in pilot workshops in three countries before finalising the guidelines.

2.2. Sector-specific issues of concern to the project

The issue of POPs reduction, phase-out and elimination affects industry at large, such as the furniture and car industry, and electronics industry. In the European Union standards for POPs are usually adopted, superseding the standards of the Convention. Therefore industry has already aligned its production according to it. This is hardly the case in the countries of transition and developing countries. Hence the adoption of the Convention standards means a rather large change in the production, use and in the handling of wastes containing POPs for those countries.

Several industrial branches are directly linked to the production and use of the new POPs. The development of inventories thus requires a close cooperation with a range of sectors and players both private and public to establish a complete inventory, such as for the car industry, furniture production, products used for fire-fighting or fire resistance, computer and electronics industries. Therefore the BAT/BEP approach is important, in that it promotes alternatives that contain no POPs, thereby showing a way to cleaner production.

2.3. Project summary

2.3.1. Fact sheet of project

Table 2: Project fact sheet

Project title	Development of the Guidelines for updating of National Implementation Plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention
GEF ID	4410
UNIDO project No. (SAP ID)	GF/GLO/11/013, 104041
Region	Global
Country(ies)	Global
GEF Focal area(s) and operational programme	Chemicals, POPs
GEF Agencies (implementing agency)	UNIDO
Project executing partners	Secretariat of the Stockholm Convention (SSC), UNITAR
Project size (FSP, MSP, EA)	MSP
Project CEO endorsement/Approval date	09 February 2011
Project implementation start date (PAD issuance date)	19 April 2011
Original expected implementation end date (indicated in CEO endorsement/Approval document)	30 March 2013
Revised expected implementation end date (if any)	31 December 2014
Actual implementation end date	31 December 2014
GEF Grant (USD)	719,000
GEF PPG (USD) (if any)	
UNIDO inputs (USD)	95,000 (in kind)
Co-financing (USD) at CEO Endorsement	927,700 (in kind)
Total project cost (USD) (GEF Grant + Co-financing)	1,741,700

at CEO endorsement)	
Mid-term review date	July – September 2012
Planned terminal evaluation date	May 2015

(Source: Project document)

The objective of the project is to provide a full set of guidance that will enable Parties to develop, review and update their NIP in a timely manner with the information relating to the new POPs added to the Stockholm Convention. The set of guidance to be developed under the proposed project would become part of the updated and consolidated “*Guidance for developing a National Implementation Plan for the Stockholm Convention*”. The developed guidance will enable countries to identify chemicals in products and articles, to establish inventories, to undertake national surveillance of imported products or products in the market, whether or not they contain chemicals listed under the Stockholm Convention. This is in order to ensure implementation of Article 3 as well as to control illegal trafficking, and to handle production and use, recycling and waste disposal of industrial chemicals including BDEs and PFOS. Such guidance will be useful for all countries globally, both Parties and non-Parties, for environmentally sound life-cycle management as well as sound trade in chemicals.

The project is funded through a GEF grant, amounting to USD 719,000, a UNIDO contribution of USD 95,000, and the counterparts’ co-financing of USD 927,700. This amounts to a total project budget of USD 1,741,700. The project implementation started in April 2011 and the initial project end date was in March 2013.

An external mid-term review was conducted in 2012 with the purpose of conducting a systematic and impartial assessment of the project in line with UNIDO and GEF Evaluation policies.

2.3.2. Project description

As per the project document, the project was set up to develop three outcomes, as follows:

- Parties have appropriate guidance for updating their NIPs considering the new POPs added to the Convention
- Strengthening of capacity and validation on the guidance for developing and updating a National Implementation Plan under the Stockholm Convention focusing on new POP chemicals
- Establishment of Project management structure including monitoring and evaluation

The consolidated set of guidance provisionally entitled “Guidance for developing and updating a National Implementation Plan (NIP) under the Stockholm Convention” were to consist of the following eight supporting guiding tools which were to be developed under this project, as well as revised existing guidance,

and will be linked with other guidance on new POPs developed outside of this project (e.g. guidance on alternatives to new POPs):

- Guidance for developing and updating a National implementation plan (NIP) under the Stockholm Convention taking into account the new POPs (Output 1.7)
- Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs (Output 1.1: later split into two documents)
- General guidance for customs on the use of commercial/trade names (Output 1.2)
- Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs (Output 1.3)
- Guidance on labelling of products/articles that contain new POPs or that use new POPs during manufacture (Output 1.4)
- Guidance for BAT and BEP for production and use of PFOS (Output 1.5 a)
- Guidance for BAT and BEP for the recycling and waste disposal of articles containing BDEs (Output 1.5 b)
- Database with readily accessible international information useful for development of NIPs under the Stockholm Convention (Output 1.6)

The existing guidance was planned to be revised, taking into account the needs originating from the listing of the nine new POPs under the Convention.² The objective of the pilot testing was to validate and evaluate the applicability of the guidance, and to revise it to produce a final version (version 2) of the guidance by March 2012.

An initial set of guidance (version 1) was planned to be made available at the COP-5 in April 2011. A pilot testing was to be performed to validate and evaluate the applicability of the guidance, and then revised to produce a final version (version 2) of the guidance in six official languages of the United Nations by March 2012. This was to guarantee that Parties had sufficient and suitable guidance for updating the NIP and transmitting it in a required time frame for COP-5 in May 2011. These timelines differ considerably from the actual achievement dates (see project efficiency).

² UNEP/POPS/COP.2/INF/7 “Guidance for developing a National Implementation Plan”, Annex to decision SC-1/12 “Guidance for the review and updating of national implementation plans”, Annex to decision SC-2/7 “Elaborated process of reviewing and updating national implementation plans”, UNEP/POPS/COP.3/INF/8 “Guidance on social and economic assessment in the development and implementation of their national implementation plans”; UNEP/POPS/COP.4/INF/11 “Additional guidance on the calculation of action plan costs, including incremental costs and action plans for specific persistent organic pollutants.

In order for the documents to be useful to Parties of the Convention, they should be³:

- stand-alone documents
- user-friendly and applicable in all countries
- easy to understand, thus as far as possible written in lay persons' terms
- respect the three-tier approach, so that countries can opt for a simple, medium or complex inventory
- cover the entire life cycle of each chemical through all sectors of occurrence, covering production, import, usage, unintentional production of POPs and disposal in a country
- convey the idea that the projects regarding the NIP and its updates are a long-term commitment of the country and that the NIPS serve as a road map for chemicals management.

The project end beneficiaries are the signatory countries of the SC and more specifically the stakeholders in these countries that are directly responsible for the development and implementation of NIPs and NIP updates.

The Secretariat of the Stockholm Convention (SSC) is the intermediary beneficiary, and the Secretariat administers the guidance documents for the Parties to the convention. For the SSC the guidelines harmonise the NIPs and their inventories, allowing for better comparison and aggregation of data towards the Convention's objectives. The SSC also ensure the updating of the guidelines, their translation and accessibility on the website.

Specialized agencies that assist signatory states in developing or updating their NIP through an Enabling Activities (EA) or an NIP update project do use the guidelines as a reference document in connection with training and project guidance. Several of the drafters of the guidance documents were familiar with NIP development, and some currently work with countries in NIP update projects.

³ These quality criteria have been gathered from various documents and interview. A list of the quality criteria was not made available.

2.3.3. Project implementation arrangements

UNIDO is the GEF Implementing Agency (IA) for the project. According to the GEF management modalities, the implementing agency is responsible for the day-to-day management of a project. UNIDO commissioned and subcontracted international experts and steered the Drafting Committee. Specifically, UNIDO was responsible for the preparation of the following outputs:

- Guidance for the establishing inventory of products and articles containing new POPs (Output 1.1). (This output was later split into two documents)
- Guidelines on best available techniques (BAT) and best environmental practices (BEP) for industrial chemicals (Output 1.5) (This output was further split into two guidance documents):
- Database in place with readily accessible international information useful for developing and updating NIPs under the Stockholm Convention (Output 1.6)

UNITAR was executing agency and responsible for the following outputs:

- General guidance for customs on use of commercial/trade names (Output 1.2)
- Guidance for strengthening the regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs (output 1.3)
- Guidance on labelling of products/articles that contain new POPs or use new POPs during manufacture (output 1.4)
- Guidance for developing and updating a National Implementation Plan (NIP) under the Stockholm Convention taking into account the new POPs (output 1.7)
- Testing the use of the guidelines in the field by undertaking pilot projects in three countries (output 2.1)
- Develop approach for capacity strengthening to implement the guidance, including developing training materials and providing training to the Stockholm Convention Regional Centres (output 2.2.)
- establish the project steering committee

The second executing agency was the Secretariat of the Stockholm Convention. Its tasks were to provide

- technical support
- policy guidance to the drafters of the guidance documents
- clearance of all decisions regarding activities under Outcome 1 (guidance documents)
- coordination with UNITAR for activities under Outcome 2 (validation and training)

- joint responsibility for the project management and monitoring of the project with UNIDO.⁴

The SSC co-managed the project, by ensuring that the approach of the guidance was heeded and by promoting synergies with other activities that were ongoing in the regional centres of the SC and mostly by ensuring that the guidelines would be fit-for-purpose in developing countries and countries in transition, through the three-tier-approach.

The SSC can be considered the client and administrator of the guidance documents as the SSC was responsible for ensuring the legal compliance of the guideline documents with the provisions of the Convention. The SSC was also responsible for the translation of the guidance documents.

2.3.4. Positioning of the UNIDO project

Since 2000 UNIDO is an Executing Agency for GEF in the area of POP projects. As of 2007 UNIDO acquired the status of a GEF Implementing Agency with direct access to the GEF financing. In the area of POPs UNIDO has acquired since a valuable expertise in several areas such as BAT/BEP for POPs, non-combustion technologies, environmentally sound management of POPs contaminated sites among others. Since 2001, UNIDO has carried out GEF Enabling Activities projects in more than 40 countries. Since 2012, UNIDO is the GEF implementing agency for 52 countries which are developing and/or updating their NIP.

2.3.5. Counterpart organizations

The Convention Secretariat, apart from its management function in this project, ensured that previous and parallel activities that were organized by the SSC or by other organisations, such as the GEF, the EU would be taken into consideration during the planning and lessons learnt would be taken into account for the drafting of the guidelines and training components. For example there the Step-by-Step companion guide that had been developed before the project started and they could be used as an example for a simple yet accurate presentation of the subject of the nine new POPs. This included also awareness raising workshops in two countries and assessments in other countries. Lessons learnt from those events, were captured. Also several of the pilot workshops were added on top already planned meetings of SC's Regional Centres. Also chapters of the guidance that were relevant to and overlapping with the Basel convention were highlighted and synergies sought.

UNITAR has sound knowledge in developing and implementing training for projects and conventions in the chemical management area. Since 2006 it is a partner of the Strategic Approach to International Chemicals Management (SAICM). In this capacity UNITAR is the international executing agency for 79 projects under the SAICM Quick Start Programme Trust Fund (QSPTF). Projects comprise various activities, such as developing National Profiles, national SAICM

⁴ Project Document

priority-setting, national chemicals management databases, SAICM implementation plans, national policies for SAICM implementation. Thus, UNITAR was highly qualified for developing training in the area of chemical management within the guidance project.

3. Project assessment

3.1. Project design

The logical framework of the project is well-structured, however not properly reflecting the outcome level (e.g. how the use of the outputs will improve/change the situation in the countries), as the formulation of the outcomes are providing for mainly typical project outputs: it foresees the development of the guidance documents (as Outcome 1) and in parallel, the development of (a) a training package to support signatory states of the Convention to apply the guidance documents for the new POPs and (b) a validation process in signatory states to be implemented between the version 1 and version 2 stages of the guidance documents (as Outcome 2). The last result covers the project management and coordination (as Outcome 3).

Quality criteria for the guidance documents were spelled out and TORs were formulated for the major technical experts who would be drafting the guidance documents. The steps that led up to the various documents were well defined (gap-analysis, decision-tree, sub-documents, questionnaire for validation). The indicators were easily verifiable as they were linked to interim steps and deliverables. A baseline was established by listing already existing documents.

The project coordination structure involved the SSC as one of the two executing agencies. The SSC role was to “provide overall technical support...policy guidance and steering...” UNITAR was the other executing agency subcontracted for developing a large part of the documents, training material and conduct validation workshops in three countries and two more in cooperation with the regional Centres of the SC. UNIDO, as the GEF implementing agency, designated a project manager.

The project design process was a joint one between the SSC and UNIDO. Several elements of the project design can be identified as having resulted from this close cooperation, in particular the roles and responsibilities.

The budget was structured according to results. The funding of the project was reduced by USD 226,000 to USD 1,741,700 during the endorsement process. The project budget consisted of GEF grant of USD 719,000 and a co-financing of USD 927,000. Of this amount USD 693,000 were provided in cash by the government of Norway and the European Union. The remainder consisted of in-kind contributions by the Secretariat (USD 217,700), UNIDO (USD 95,000) and by the UNITAR (USD 22,000).

The translation of the documents was planned for in all six UN languages after the finalisation of version 1. The Terms of References for the main consultants were drafted and thus could be used without major changes for the contracting of experts and for the subcontract with UNITAR. The suggested timeline of the project was closely linked to the dates of COP-5 and COP-6 of the Convention as the goal was to present version 2 in time for the COP-6 in 2013.

Due to a later endorsement by the GEF than expected, the project was endorsed on 6 March 2011. The starting date was changed on the front page of the project document (to March), but all other timelines remained unchanged, which meant that these deadlines were impossible to meet.⁵ A project revision to reflect the delays accumulated before the project's actual start date was not made.

Three validation workshops were to be funded by the project. By means of another set of workshops that were organized and funded by the SSC's regional centres, the basis for validation of the guidance documents was broadened. The workshops were intended to present the new guidelines, as well as to work with some of the training tools and to gather feedback from participants on their user-friendliness.

The peer review was not part of the project design.

The project document identified several risks that were realistic. Most of them did not materialize. Instead, industry was willing to cooperate with the project and contributed to the drafting in several parts⁶. Also, the project managed to assemble the international experts in their field, but only after a delay. One risk that materialised was the underestimation of the complexity of the task. One risk that was not foreseen was that the guidance documented would not be adopted by the COP

3.2. Project relevance

The project is fully in line with the GEF-5 area of work on 'Chemicals' and specifically with the strategic objectives⁷ of the focal area on 'POPs enabling activities' that is to *assist eligible partner countries to implement their obligations under the Stockholm Convention, and to achieve the purposes of the convention, including to reduce and eliminate production, use and releases of POPs through (1) Strengthening Capacity for NIP Development and Implementation, (2) Partnering in Investments for NIP Implementation and (3) Generating and Disseminating Knowledge to Address Future Challenges in Implementing the Stockholm Convention.* This project clearly supports the achievement of the first and third strategic goals.

This project was a global medium-sized project funded from the fifth replenishment of the GEF. The project was to have a global reach, which is evident by the fact that the SSC commissioned the project so that the 170 Parties to the Convention would be able to prepare their second NIPs on time for the COP 2013.

For the SSC, which administers the Convention for the parties, the relevance of this project was very high because it needed to have an official guidance

⁵ For example the submission of version 1 drafts to the COP-5 in 2011.

⁶ American Industrial Association, meeting with Japanese industry representatives, Dupont

⁷ https://www.thegef.org/gef/archived/country_support_program/170

document to support the inventorying of the new POPs, which included an adaptable approach to be fit for many different country situations. The guidelines were purposefully designed to reflect the different conditions in the countries of the Parties and to have the guidance validated by pilot workshops in three countries in addition to workshops organised by the Regional Centres of the Convention. The countries for the pilot workshops were selected to reflect conditions in developing countries and countries in transition.

For UNIDO this project was highly relevant, as UNIDO is one of three UN agencies implementing agencies that support countries through Enabling Activities and NIP update projects under the SC along with UNEP and UNDP. With this project UNIDO's position as a specialist in the 'Chemicals' area with a focus of POPs, was further consolidated.

3.3. Effectiveness

Delays in time spans regarding the endorsement process between the GEF and UNIDO seem not to be unusual.¹⁰ However, given the close tie between the project deliverables and the COP-5 (2011) and COP-6 (2013), the start date rendered the originally planned deliverable timelines, such as presentation of version 1 to the COP-5 (2011), impossible. A review of the project to reflect amended timelines and later other changes was not made. Consequently, nothing was presented at the COP-5 (2011).

After initial delays, a first, rather informal project steering meeting took place the COP 2011 between the SSC, UNIDO and UNITAR, during which it was agreed that the SSC and UNITAR would be leading the process and prepare a work plan. UNIDO's appointed focal point for the project was to proceed with the subcontract for UNITAR.

In early May, UNITAR and the SSC presented a revised work plan diagram, which showed updated deadlines. It also presented other events which would become relevant for the project and might have an influence for the project, so as to incorporate lessons learned into the drafting process for the guidelines. This work diagram comes fairly close to the actual implementation of the project, but did not yet include the peer review and drafting workshops.

A first drafting committee meeting for the guidance documents that UNIDO had to develop was convened in June 2011. This meeting was considered by UNIDO staff the inception meeting. UNITAR was not present. During that meeting deadlines were fixed for the finalization of version 1 based on the work plan that the SSC and UNITAR had developed.

A second drafting meeting was convened by UNIDO in September 2011. The results of this meeting are not documented, but it seems that during this meeting a change in approach was opted for: the three-tier approach. This approach meant that countries could opt to develop the inventories according to their financial and human resource capacity depending on their situations. This

¹⁰ Interview with UNIDO GEF coordinator

meeting can be considered a turning point for the project, as it clarified how the guidance documents would have to be structured.

The main international consultant for the PFOs/ PBDEs inventories and BAT/BEP guidance documents had not yet been and was only recruited around August 2011. The subcontract with UNITAR was also signed end of August 2011

Table 3: Status of guidance documents as at 22 July 2015

	Guidance document (as per project document)	Title on SC website	Link	Current status
2		Draft guidance for the inventory of polybrominated diphenyl ethers (PBDEs) listed under the SC on POPs	http://chm.pops.int/Implementation/NIPs/Guidance/GuidancefortheinventoryofPBDEs/tabid/3171/Default.aspx	All UN languages July 2012 draft version and version of March 2014 available
3	Output 1.2: "General guidance for customs on use of commercial/trade names" (UNITAR/SSC)	Supporting documents	http://chm.pops.int/Implementation/NIPs/Guidance/NIPGuidanceSupportingDocuments/tabid/2941/Default.aspx	English
4	Output 1.3: "Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs" (UNITAR/SSC)	Draft guidance for the control of the import and export of POPs	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceforthecontroloftheimportandexportofPOPs/tabid/3173/Default.aspx	English draft version of July 2012
5	Output 1.4: "Guidance on labelling of products/articles that contain new POPs or use new POPs during manufacture" developed (UNITAR/SSC)	Labelling of products or articles that contain POPs - Initial Considerations	http://chm.pops.int/Implementation/NIPs/Guidance/Labellingofproductsorarticles/tabid/3174/Default.aspx	English version of July 2012
6	Output 1.5 Guidance for best	Draft guidance on best available	http://chm.pops.int/Impl	All UN

	available technology (BAT) and best environmentally practices(BEP) for industrial chemicals (<i>split into two documents</i>)	techniques and best environmental practices for the use of perfluorooctane sulfonic acid (PFOS) and related chemicals listed under the Stockholm Convention	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceonBATBEPfortheuseofPFOS/tabid/3170/Default.aspx	languages Draft version of 2012 and revised draft version of May 2015 available
7		Draft guidance on BAT/BEP of the recycling and waste disposal of articles containing polybrominated diphenyl ethers (PBDEs) listed under the SC on POPs	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceonBATBEPfortherecyclingofPBDEs/tabid/3172/Default.aspx	All UN Languages Draft version of 2012 and revised draft version of May 2015 available
8	Output 1.7 Guidance for developing and updating a National Implementation plan under SC taking into account new POPs	Guidance for developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (updated in 2012 to include the POPs listed in 2009 and 2011)	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceforDevelopingNIP/tabid/3166/Default.aspx	English draft July 2012 and revised draft of March 2014 available

3.4. Efficiency

By the end of August 2011 the subcontract with UNITAR and SSA contracts had been finalised to effectively start the drafting process to start the drafting process. Prior to that, the drafting committee had met to discuss the approach, and also how many guidance documents would actually be produced. The eight outputs of the first outcome (of which one was not a document, 1.6. database) were subdivided into eight separate documents (see table 3). In June 2012 UNIDO submitted the copy-edited version of the guidance documents to the SSC. Prior to that, the guidance documents had undergone two distinct validation processes, one of which had not been planned for in the project document.

Between January and February 2012 a peer review was arranged for by the project manager. It involved approximately 50 international scientists from various disciplines related to the guidance documents. With the help of questionnaires for each of the seven documents, substantial feedback was received in a structured manner and could be systematically incorporated into version 2 of the documents.

The eight different documents were submitted in June 2012 to the Secretariat, compared to January 2012.¹⁴ All documents can be found on the SSC's website in their version of July 2012; not all of them are available in the six UN languages (see table 3). Meanwhile, some of the documents have been updated with the comments by parties to the conference (see sustainability). The translation were planned to be done by the SSC. In fact, UNIDO agreed to have some of the documents into two languages (Arabic and Russian).

1	Output 1.1: "Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs"	Draft Guidance for the inventory of perfluorooctane sulfonic acid (PFOS) and related chemicals listed under the Stockholm Convention on POPs	http://chm.pops.int/Implementation/NIPs/Guidance/GuidancefortheinventoryofPFOS/tabid/3169/Default.aspx	All UN languages July 2012 draft version and version of March 2014 available
2	(split into two documents)	Draft Guidance for the inventory of polybrominated diphenyl ethers (PBDEs) listed under the SC on POPs	http://chm.pops.int/Implementation/NIPs/Guidance/GuidancefortheinventoryofPBDEs/tabid/3171/Default.aspx	All UN languages July 2012 draft version and version of March 2014 available
3	Output 1.2: "General guidance for customs on use of commercial/trade names" (UNITAR/SSC)	Supporting documents	http://chm.pops.int/Implementation/NIPs/Guidance/NIPGuidanceSupportingDocuments/tabid/2941/Default.aspx	English
4	Output 1.3: "Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs" (UNITAR/SSC)	Draft Guidance for the control of the import and export of POPs	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceforthecontroloftheimportandexportofPOPs/tabid/3173/Default.aspx	English Draft version of July 2012
5	Output 1.4: "Guidance on labelling of products/articles that contain new POPs or use new POPs during"	Labelling of products or articles that contain POPs - Initial Considerations	http://chm.pops.int/Implementation/NIPs/Guidance/Labellingofproductsorarticles/tabid/3174/Default.aspx	English Version of July 2012

¹⁴ January 2012, the English version was supposed to be finalised. Project document p. 33.

	manufacture” developed (UNITAR/SSC)			
6	Output 1.5 Guidance for Best available technology (BAT) and best environmentally practices(BEP) for industrial chemicals <i>(split into two documents)</i>	Draft Guidance on best available techniques and best environmental practices for the use of perfluorooctane sulfonic acid (PFOS) and related chemicals listed under the Stockholm Convention	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceonBATBEPfortheuseofPFOS/tabid/3170/Default.aspx	All UN Languages Draft version of 2012 and revised draft version of May 2015 available
7		Draft Guidance on BAT/BEP of the recycling and waste disposal of articles containing polybrominated diphenyl ethers (PBDEs) listed under the SC on POPs	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceonBATBEPfortherecyclingofPBDEs/tabid/3172/Default.aspx	All UN Languages Draft version of 2012 and revised draft version of May 2015 available
8	Output 1.7 Guidance for developing and updating a National Implementation Plan under SC taking into account new POPs	Guidance for Developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (updated in 2012 to include the POPs listed in 2009 and 2011)	http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceforDevelopingNIP/tabid/3166/Default.aspx	English Draft July 2012 and revised draft of March 2014 available

Version 2 of the guidelines was submitted to the SSC in June 2012. This did not meet the deadline, because Parties to the Conference had been expected to submit their updated NIPs by 26 August 2012 to the COP. However, due to the fact that the process for submitting updated NIPs was delayed for other reasons, the late submission of the guidelines did not result in any overall delay of the process. During COP-7 (2015) 22 updated NIPs were presented.

The validation workshops were held as planned. Yet, the time between the preparatory webinars (a one-hour tele-conference to prepare for the workshops) and the actual workshops might have been too short; as the feedback received from the workshops was rather uneven, since country stakeholders did not have sufficient time to familiarize themselves with the guidance documents before the workshops.

The validation process was to test the guidance documents in three countries (Serbia, India, Nigeria) before version 2 was developed. Approximately 50

participants took part in the workshops in each country. Most of the participants would later be directly involved in the developing or updating of NIPs. Several webinars and workshops took place during the finalisation of version 2 and thereafter (see table 4).

Table 4: Workshops carried out under UNITAR subcontract

Date	Place	Title of workshop
6-8 Feb 2011	Belgrade, Serbia	Pilot testing of guidelines for updating NIPs to address new POPs (Pilot workshop 1)
7-8 Mar 2012	Abuja, Nigeria	Pilot testing of preliminary inventory activities for PPBDE and management frames of PBDE containing flows incl. EEE/WEEE polymers and end-of-life vehicles (Pilot workshop 2)
28 Feb – 2 Mar 2012	India	Regional awareness workshops (Pilot workshop 3)
12 June 2012	webinar ¹⁵	Guidance package for updating National Implementation Plans under the Stockholm Convention, taking into account the POPs listed in 2009 and 2011
12 June 2012	webinar	Establishing inventories of POP-PBDEs listed under the Stockholm Convention
14 June 2012	webinar	Establishing inventories of PFOS and related chemicals listed under the Stockholm Convention
18-21 June 2012	Nagpur, India	Sub-regional workshop on guidelines for updating NIPs with SC regional centre for Asia, CSIR-NEERI
27-28 June 2012	Zéralda, Algeria	Workshop on controlling newly listed Stockholm Convention POPs
18 Sep 2012	Webinar	Guidance on BAT/BAP for the production and use of perfluorooctane sulfonic acid (PFOS) and related chemicals listed under the Stockholm Convention on POPs
11 Oct 2012	Webinar	Labelling of products or articles that contain POPs - Initial considerations
6 Nov 2012	webinar	□ Guidance for the control of the import and export of POPs
14 Feb 2013	webinar	Establishing inventories of POP-PBDEs listed under the Stockholm Convention
26 Feb – 1 Mar 2013	São Paulo, Brazil	Global workshop on updating NIPs, including updating and revising PCDD/PDCF inventories,
19-22 Mar 2013	Dakar, Senegal	Global workshop on updating NIPs including updating and revising PCDD/PDCF inventories

¹⁵ The webinars have duration of approximately one hour and include slides on all guidelines. In total, around 15-20 slides are prepared, about 2-3 slides per guidance document. Webinars were also conducted for all countries prior to the pilot workshops.

Source: UNITAR final report

During the pilot workshops, stakeholders worked with the developed methodologies and did exercises. Stakeholders in general showed enthusiasm and commitment.

According to interviewees, the feedback that resulted from the pilot workshops was at times less substantial than expected. One consultant reported that he did not change the guidance documents after the pilot workshops. In his view it was not so much a validation workshop than a training event. The prior knowledge in countries differed quite a lot depending on previous projects in the country (e.g. such as in Nigeria). In contrast to that, pilot workshops where stakeholders were not familiar with the topic did not provide much feedback. Both the SSC and the consultants recognised that more time would have been necessary for participants to work with the guidelines and get acquainted with their structure and approach to provide substantial feedback. The validation workshops also presented an opportunity to test the training components that had been developed by UNITAR (slideshows, factsheets and exercises that are linked to the guidance documents with hyperlinks). UNITAR organised all pilot workshops in close cooperation with the SSC.

A Training-of-Trainers (ToT) workshop in Vienna in 2012 was conducted. This 3-day event, funded mainly from the regular budget, was supported by this project. The participation in this event was pertinent as it followed up one major recommendation made in the Mid-Term Review (MTR) 2012, namely that a more programmatic approach to capacity building was needed, if the guidelines were to be used effectively. The 25 participants came from Latin America, Africa, Asia and Europe. In addition 10 UNIDO staff was to be trained.

The main question to be answered and conveyed to participants during the workshops was how the NIPs can be rendered more practical so that they serve as an action plan rather than just a project work plan. A report on results the workshop was not available. A lesson learned from this workshop was, that it needed trainers from the region who are familiar with the legal framework in countries and speak the same language and that training needed to be adapted to the specific country context. This lesson learned has been implemented as in all NIP update projects a training component is integrated.

Moreover, an inventory validation workshop took place (September 2013) to validate preliminary inventories and to review how the guidance documents had been used.¹⁶

A Global Meeting on South-South Cooperation in November 2014 in Vienna took place to assess the then 51 ongoing NIP update projects, implemented with the assistance of UNIDO. Countries were at different stages of their updating process, some had already developed inventories and action plans and were thus able to share their experiences with countries which were at an initial stage.

¹⁶ No reports on these two activities are available to assess results.

The occasion was also used to reflect on the UNIDO cluster evaluation of NIP review and update projects, which was ongoing at that time.

Overall, these activities helped to re-assess the user-friendliness and applicability of the guidelines thus completing the validation process that had been too hastily done during the pilot workshops.

The project was drafted by an external international consultant and was submitted to UNIDO for review on 20 July 2010. The project was submitted to GEF on 28 October 2010. Due to a reduction in activities and funding from the GEF, the project was re-submitted on 7 January 2011. It was approved by GEF on 6 March 2011 and only later by UNIDO.¹⁷ The Project Allotment Date (PAD) was 19 April 2011 and project document was signed on May 12 by UNIDO and on 16 May 2011 by the SSC.¹⁸

A review of the project to reflect amended timelines and later other changes was not made. Nevertheless, project activities started after the PAD approval, and efforts were made to mitigate the delay and to minimise its consequences. In early May, UNITAR and the SSC presented a revised work plan diagram, which showed updated deadlines.

During the project implementation approximately 20 SSA contracts were issued. The processing time for consultants averaged 3-4 weeks, if the consultant was not yet known to UNIDO in which case the daily rate had to be determined by Human Resources.

Many contributors to the guidance documents worked on a cost-free basis.¹⁹ To speed up the drafting and harmonisation process among the different contributors, two one-week drafting workshops, in November 2011 (for version 1) and April 2012 (for version 2) were held. These meetings allowed contributors to finalise their versions in a very short time period and to be able consult with relevant contributors of other guidance documents. They contributed to make up for the delay that had been caused in the first few months of the project. They had not been planned for.

The peer review that was equally unplanned and inserted for scientific quality assurance was conducted in parallel to the validation workshops, so that no additional delay was created. All peer reviewers worked free of charge.

¹⁷ The fact that the UNIDO approval comes after the GEF approval, seems to be common practice now. At that time, however, this sequence of approval was criticized.

¹⁸ The project had been submitted to and approved by the GEF before its submission to UNIDO's Programme Approval and Monitoring Committee (AMC). That was the reason why the project document had not been signed by that date but on 12 and 16 May, 2011.

¹⁹ American Industrial Association, Japanese Institute for Environment

After the finalization of the main activities, the project management used the remaining project funds to contribute to activities that were strongly related to the project's objective, for example the ToT in Vienna in 2012. Funds paid for the participation of participants from Africa and Latin America. The inventory validation workshop in September 2013 was funded from funds by the Office of the Director of the Environment Branch. Project funds were also used to support the Global Meeting on South-South Cooperation in November 2014 in Vienna.

Unplanned activities

Unplanned activities included two workshops during which all contributing consultants gathered in Vienna (November 2011 to finalize version 1 and April 2012 for version 2, with five days for each). These meetings had the goal of harmonising common elements of all documents and to cross-reference the guidance documents among each other and also with the training components. The workshops presented an opportunity for drafters to present their first or second versions and to receive internal feedback from co-drafters.

Unplanned was the peer review that involved some 50 persons from universities and industry (not from other UN organizations) to review the guidance documents in parallel to the pilot workshops. That way no time was lost, but the feedback was more substantial.

Planned activities that were amended or not performed

Originally it was planned to have the guidance documents printed. But according to a new printing policy of the SSC, none of the guidance documents have been printed or are likely to be printed, as they are considered 'living documents' which will need updating. Therefore the deliverables of this project are links to electronic documents and do not have a high visibility for the organizations involved in their drafting (see annex 4). Not all of them are available in all UN languages.

Translations were only done after the development of version 2 and not as foreseen in the project document after version 1.

The training modules that had been developed by UNITAR (factsheets, slide shows, exercises) were not compiled into one training manual, but are distributed within the different guidance documents.

The database was not developed as it required going through a legal process within the SSC. It seems the information is on the SSC website, but this could not be confirmed.

The guidelines on labelling (output 1.4) had to be renamed into 'Initial considerations – labelling of products and articles that contain POPs as they listed companies and supplier names whose products according to their public websites still contained POPs. Therefore countries whose companies were listed were concerned about the publication of these guidelines under the original title. By changing the title slightly, the publication was acceptable to the concerned parties of the Convention. Another country, on the other hand, objected to naming products and articles that contain POP components, as this would then

become mandatory for the companies under the Convention to label these components as toxic.

3.5. Assessment of sustainability of project outcomes

In June 2012, UNIDO submitted the guidelines documents to the SSC. There they underwent an internal review and were made available on the SSC's website in July 2012.

The guidance package included both inventory and BAT/BEP documents. These two types of guidance documents were considered separately by the COP, as they are managed through different processes. For the BAT/BEP a procedure for review and update has been adopted at the COP-5 with an expert group mandated to work on that matter. At the COP-6 in 2013 at the COP-6, two decisions were made regarding the guidelines.

Inventory guidance documents

Decision SC-6/12, adopted by the Conference of the Parties to the Stockholm Convention at its sixth meeting, *'encourages parties to use the revised, updated and draft guidance for developing national implementation plans and to provide the Secretariat with detailed comments on them by 30 September 2013 and after comments are integrated to further comment by 31 October 2014.'*

BAT/BEP guidance documents

Decision SC-6/10, dealt with the BPDE (output 1.5 b) and PFOS (output 1.5.a) BAT/BEP guidance documents. It reads, that the COP *'takes note of them and encourages Parties to use them...[and] invites Parties to make comments to them'* by 31 March 2014.²⁰ This decision meant that Parties were able to use the guidance documents, but that they were not adopted. It also meant that the SSC launched a review process asking parties to comment on them. Currently the draft versions of 2012 are available on the website side by side the updated and reviewed guidance documents (see table 3).

Consequently, between COP-6 and COP-7 the BAT/BEP guidance has undergone a review and update as per decision 6/10. The Secretariat, in consultation with BAT/BEP experts integrated the comments received from the various bodies involved in the consultation and submitted a revised draft guidance to the COP-7. Comments were received during this process and one of guidance documents (Output 1.5.a Guidance on PFOs BAT/BEP) had to be substantially updated early in 2015 to address the harmonization of terminology and also the harmonization with the existing guidance under the Basel Convention, the update of references and the inclusion of missing references.

²⁰ Interview with SSC staff

The updated guidance documents are available on the SSC's website, along with the draft guidance of 2012.²¹

Overall there were very few substantial comments received by parties to the Convention. Eight comments by four countries were received in response to the revised, updated and draft guidance for developing NIPs. 11 comments by seven countries were received on the BAT/BEP documents for PFOs and PBDEs.²²

The BAT/BEP guidance documents for PFOs and PBDE will be subject to a further review as per decision of the COP-7 for submittal to COP-8.²³ The COP also encouraged parties and others to use the guidelines and guidance, and to share their experiences in using the guidelines and guidance, such as in the form of case studies, by means of the Stockholm Convention clearing-house mechanism.

According to the SSC, it is unlikely that the guidance documents will be formally adopted by the COP. It is more likely that they will be 'welcomed' or 'taken note of' and that the COP will encourage their use. According to the SSC, the fact that the guidance documents are used is the most important aspect, more important than the formal adoption, as Parties then consult them during the development of their action plans.²⁴

Financial risks

The project was sufficiently budgeted and had a co-financing contribution of USD 639,000 from the Government of Norway and the European Union. The translations were intended to be done by the SSC. However, UNIDO funded the translation into Chinese and Arabic. The reasons for this could not be identified. It seems that there is currently insufficient funding for the few remaining translations. It is possible that since the documents are still in draft, and some have to be updated, that no translation will be undertaken by the SSC. Possibly additional funds would be needed to fund an easy-to-read introduction to new POPs, as the guidance documents seem not to be self-explanatory. Hardly any country is able to develop their updated NIP using the guidelines alone without training.

²¹ The latest version of the guidance is available at:

<http://chm.pops.int/Implementation/BATandBEP/Guidance/tabid/3636/Default.aspx>

²² The SSC website lists all comments received.

²³ The decision was not yet on the SSC's website at the time of this evaluation. The text was provided by the SSC to the evaluator prior to its publication on the SSC's website. *'Requests the Secretariat, subject to the availability of resources, in consultation with the experts on best available techniques and best environmental practices, and considering the work on the evaluation of perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride pursuant to paragraphs 5 and 6 of part III of Annex B to the Stockholm Convention,*²³ *to revise the draft guidance referred to in paragraph 3 of the present decision in order to update the references to the work under the Basel Convention, in particular the technical guidelines for the environmentally sound management of wastes consisting of, containing or contaminated with persistent organic pollutants as adopted at the twelfth meeting of the Basel Convention, and to reflect the provisions of Article 6.1 of the Stockholm Convention;*'

²⁴ Interview with SSC staff

Socio-political risks

Despite the reluctance to adopt some of the POPs guidance on the BAT/BEP, it seems that the Stockholm Convention is also a change agent for industry to some degree. The Convention has contributed to a large extent to the awareness rising in all countries about POPs. Thus the Convention has contributed effectively that POPs production will be reduced. It is obvious that there will always be some resistance by some countries to the listing of new chemicals. Yet overall, even if slower than expected, countries complied with the requirements of the Convention.

It must be taken into account that in many countries environmental concerns are overshadowed by more severe problems in some countries and that therefore POPs and environment at large do not receive the desired attention. At the same time, the Convention allows countries to make improvements within their country which will pay off in the mid and longer term.

It has to be admitted that the new POPs and the guidance documents need an accompanying training and 'coaching', to ensure that updated NIP meet the quality requirements and to ensure that countries show ownership and commitment. Thus the guidelines are not self-explanatory, but require assistance and training in most countries. This guidance is provided by UNIDO and other UN agencies who support countries in their development of NIP update in projects as training components are always included.

Institutional Framework and governance risk

As shown above, since the submission of the guidance documents to the SSC these are subject to the decisions by the COP and thus to interests of the parties, be they financial, economic or other. It seems very likely that these guidelines will not be formally adopted and merely encouraged to be used. In that sense the use of the documents is assured. This means that the project is open-ended as there will always be another update. A final version that would be published – independent of the printing policy at the SSC - seems not in sight. The 'life span' of the guidance documents seems thus quite reduced given that also new chemicals have been listed since the start of the project, which requires the documents to be always slightly amended.

3.6. Assessment of monitoring and evaluation systems

M&E design

According to the project document, the project was to set up a project monitoring and evaluation plan during project inception. This M&E plan would establish updated project impact indicators, using the objectively verifiable indicators listed in the project's results framework as the starting point. In addition, the project-reporting framework would be established with a detailed work plan and budget for year one being adopted. This system was also supposed to have included a 'detailed narrative on the institutional roles, responsibilities, coordinating actions and feedback mechanisms' (Project Document, p. 51).

The project management system and the M&E framework for the project were supposed to have been discussed and/or adopted at a Project Inception Workshop. As indicated in the previous section, these issues were not addressed early on and were not remedied thereafter.

M&E plan implementation

There was no formal M&E system established. Progress was monitored closely via the progress on the various guidance documents.

A short and informal meeting had taken place on the margins of the COP 2011. During this meeting preliminary roles and responsibilities among the SSC, UNITAR and UNIDO were clarified, despite the fact that neither UNITAR, nor the chairperson of the drafting committee, nor any of the consultants had yet been contracted at that time.²⁵ Interspersed with formal meetings of the drafting committee were tele-conferences convened by sub-teams. Topics discussed during these meetings covered the distribution of work, standards regarding abbreviations, style and user-friendliness in the form of a tiered approach, and scientific accuracy. Also, the validation process and peer review were planned for in this committee. Up until November 2011 most PSC meetings were convened by the Unit chief, but he did not always chair the meetings. Most of these tele-conferences were documented.

The cooperation among the SSC and UNIDO as well as between UNIDO and UNITAR was, according to interviews with project stakeholders, mostly cooperative and uncomplicated. The informality of the cooperation might have contributed to the fact that major decisions have not been documented sufficiently, so that it is difficult to reconstruct the decision-making process underlying some of the changes in the project implementation, such as for example the insertion of a peer review process.

While an M&E system was not established for this project, UNIDO and the SSC did track progress towards project objectives (mainly through the progress made with the guidance documents) and took corrective action when needed. Quarterly reports on project progress were not prepared and several managerial decisions not documented.

Translations

In the mid-term report (October 2012), the translations are still expected to be done. The Annual Implementation Report (September 2013) states that 'the translations are under way'. While the evaluator was at the SSC in June 2015, it was communicated that there was a lack of funding for the remaining documents to be translated. Also, the co-funding was not well monitored (see finances), most likely because this was channelled via the SSC.

Budgeting and Funding for M&E activities

²⁵ During this meeting the UNIDO focal point was designated. It was also decided that one staff member of the SSC and one of UNITAR will lead the process. UNITAR was also to prepare a work plan; UNIDO was to proceed with subcontract

Monitoring and evaluation were sufficiently budgeted for. Some of this budget was used to fund the Project Support Costs of UNITAR (USD 22,400) (see efficiency.)

3.7. Monitoring of long-term changes

There is no formal mention of monitoring long-term changes within the project. It seemed that staff did not follow closely the review and updating processes of the SSC after June 2012. One factor was probably that once the guidance documents had been submitted to the SSC, the further process was no longer within the responsibility of UNIDO, but rather under the responsibility of the SSC and the COP mechanism. The SSC followed up on the review of the documents and ensured that feedback received from countries was incorporated in the updated version dated 2014.

Given that UNIDO's main outputs had been delivered in June 2012, UNIDO opted to follow-up on the use of the guidance documents and the training components by funding a Training-of-Trainers workshop in 2012 and contributing to a meeting presenting the results of the cluster evaluation on UNIDO's POP activities.²⁶

3.8. Assessment of processes affecting achievement of project results

As already reported, the endorsement process between the GEF and UNIDO took much longer than expected. This affected the entire project implementation as everything had to be done under pressure and the two important deadlines (COP-5 and 26 August 2012) were not met.

Secondly, workload in the Stockholm Convention Unit at UNIDO was already high and it seemed to have been not having sufficient staff to deal with the project implementation, so that most likely there was insufficient attention devoted to the project.²⁷

The project was sufficiently budgeted for the outputs to be produced. It also allowed ample financial leeway to recruit specialists to deal with special areas needed for the guidelines. Therefore the statement in the Mid-Term Review 2012 that the training activities were set aside due to budgetary reasons cannot be confirmed.²⁸

²⁶ 2014: Global South-South Cooperation in context of NIP updates and their evaluation (co-funded with USD 15,500 for evaluators contracts)

²⁷ UNIDO Independent Thematic Evaluation: UNIDO's work in the area of Persistent Organic Pollutants (POPs), 2012 contains several observations and recommendations regarding the management style and work load of this Unit at UNIDO.

²⁸ MTR 2012, page 25, footnote 18 reads: 'UNITAR prepared factsheets on each of the guidance documents, as well as factsheets on each of the new POP chemicals added to the Stockholm Convention. However, a full training package was not developed due to time and budget constraints.'

The responsibility for the monitoring of the co-financing seems to be unclear. The co-financing was channelled through the Secretariat. Yet it seems that the project manager was not kept actively informed of it in order to prepare progress and final reports. The information given in the MTR was made available by the evaluator of the MTR.

For the preparation of progress and final reports and also for the MTR 2012, the information on co-financing came late from the SC and only after several requests. The evaluator of the terminal evaluation did not receive updated information on the co-financing figures, despite repeated requests. The project manager was unable to assist as he was not provided with this information by the SSC either. It is not clear in what way the project manager can monitor these funds if information is not forthcoming.

UNITAR had programmed an in-kind contribution of USD 22,000. At the time of the conclusion of the subcontract UNITAR's project support costs of around USD 22,400 were budgeted to the project management budget line.

3.9. Project coordination and management

The SSC's management role in this project was important and visible in management decisions that were taken during the implementation phase. For example, the SSC steered the project in stressing the importance of the documents having to be as simple as possible and easy to implement in developing countries and countries in transition. The SSC also ensured that duplications with other documents were avoided and that synergies with other activities related to the project (but not funded by it) could be used for the purpose of further testing version 1 of the guidelines. The SSC's management role can best be traced in the decision taken towards the end of 2011 to slow down the completion of the training package and to give priority to the finalisation of the guidance. This decision was apparently never documented. Also, at various points during project implementation, advice was given to ensure the user-friendliness of the documents.

The project document specifies that almost all activities regarding the guidance documents (Outcome 1) were to be undertaken with final clearance and guidance by the SSC. The training and validation (Outcome 2) process was to be undertaken by UNITAR in coordination with the SSC. Outcome 3 (project management) activities were to be carried out by UNIDO and the SSC, with the exception of the establishment of the PSC which was UNITAR's responsibility. This is not mentioned in UNITAR's subcontract.

The UNIDO project management role was complex. An international consultant had been hired to oversee the drafting of the documents that were under UNIDO's responsibility. In November 2011 the current project manager, who had

been already much involved in the project and had attended all meetings of the drafting committee, took over unexpectedly as project manager.²⁹

In August 2011 an international consultant was recruited to act as chairperson of the drafting committee for the documents that UNIDO was to produce. There was hence a complex situation as to various management roles within the project. At times these roles overlapped. The insipient difficulties that arose due to this situation were later remedied as the task in its complexity became clearer, with delivery dates for version 1 being fixed and smaller sub-teams for specific documents being formed. In hindsight, most stakeholders appreciated the good cooperation between UNITAR, the SSC and UNIDO. UNITAR's contract started in August 2011. In the months before the submission of version 2 to the SSC, the UNIDO project manager took on a more active role in the drafting of one of the documents than was formally foreseen.

3.10. Assessment of gender mainstreaming

Noticing that in GEF-5 gender considerations were not an explicit requirements, in this project gender concerns were not at the forefront, neither at the design, nor during implementation or follow-up stages.

3.11. Procurement issues

The only subcontract issued was with UNITAR for an amount of USD 340,000. It took three months from the first IOM sent to Procurement (5 May 2011) until the signed contract arrived (26 August 2011). The main reason for the delay was a question as to which budget line UNITAR's Project Support Cost (7% amounting to USD 22,000) should be charged; according to regulations and rules these costs could not be charged to the Project Support Cost line which was reserved for UNIDO's Project support Costs. Also contributing to the delay was the fact that the project was not signed until 16 May 2011. The solution found was to charge this amount against the project management outcome (Outcome 3) and to add an activity to the contract whereby UNITAR was responsible for the project Steering Committee's first meeting.

It is noted that the correspondence between UNITAR and the Procurement Section shows some long periods of time during which the UNITAR staff member is not informed of the actions taken.

²⁹ Due to the unexpected sick leave of the then-chief-of-unit, the current project manager took over as project manager. The position of chief of unit was not filled until two years later (March 2014) which added further to high workload of the unit.

In the Thematic Evaluation of UNIDO's POPs activities conducted in 2012, the situation of the UNIDO Stockholm Convention Unit at that time was described as 'supplementing its limited resources with national/international consultants...that the unit does not have a formal structure for lesson learning and experience exchange, reporting to the unit and poorly structured internal information management ... a tendency for team member to work independently...'

Table 5: Overall ratings

Criterion	Evaluator's summary comments	Evaluator's rating
Attainment of project objectives and results (overall rating). Sub criteria (below)	Production of high quality guidance documents that reflected the state-of-the-art at that time and which are being used by Parties of the Convention to develop/update their NIPs	Satisfactory
Project design	The project design was structured, with well-developed TORs for consultants and highly specified as to the activities leading to the different guidance documents, including training component and validation process in countries. However, the project design did not reflect the actual outcome level of the project, and presented the project outputs as outcomes. Also, the project design did not foresee a peer review process. This however, was necessary, given the reference character of the guidance documents and the wide distribution of the documents.	Moderately satisfactory
Effectiveness	The project has achieved its results (output level) with minor changes. The project management output was not so well implemented, but did not prevent the good quality of the main project results. The project overachieved in the validation component by having introduced an additional quality assurance process which contributed to the quality of the guidelines. The database was not established. The pilot workshops could have been longer and better prepared. The Training of Trainer workshop and other later activities were highly relevant and present other unplanned activity.	Highly satisfactory
Relevance	The guidance documents are the only one of their kind and provide Parties of the Convention with a reference work to base their NIP development on. With its link to exercises, fact sheets and slide shows, it has managed to simplify to the extent possible a complex content. For the SSC the documents present the basis to work with to ensure the Convention process.	Highly satisfactory
Efficiency	The project had phases of apparent inactivity and some areas of inefficiency (monitoring of co-financing, project monitoring). The main outcomes were delivered with high efficiency and some of the initial delay could be made up. Several consultants and reviewers worked free of charge.	Satisfactory
Sustainability of project outcomes (overall rating). Sub criteria (below)	The probability of the guidance documents being fully adopted by the COP is small. However, the COP encouraged its use to all Parties of the Convention, so it is likely that they are used. The two BAT/BEP guidance documents had to be updated. Due to since 2012 the guidelines would	Moderately likely

Criterion	Evaluator's summary comments	Evaluator's rating
	need continuous updating new chemicals being listed	
Financial risks	The NIP updates and follow-up projects are complex and hardly any country can develop their updated NIP or follow up projects without external assistance and training. To do so, needs financial resources to support, yet at the same time country ownership and commitment needs to be strengthened.	Moderately likely
Socio-Political risks	The project was exemplary in liaising with countries, industry and academia, that way enhancing the acceptance and use of the guidance documents. Still, there might be areas where the interests of industrial sectors are vitally affected which will cause opposition to some decisions of the COP and also to the BAT/BEP guidance documents in particular.	Moderately likely
Institutional framework and governance risks	It is likely that the guidance documents will not be fully adopted by the COP.	Moderately likely
Ecological risks	Not applicable	n/a
Monitoring and Evaluation (overall rating) Sub criteria (below)	The project management component shows very good cooperation and consistent orientation towards the quality criteria for the main outcomes. A commonly shared responsibility and high commitment for the outcomes was noticeable during interviews and in the guidance documents and training components, which compensated for the lack of formal M&E tools.	Satisfactory
M & E Design	A formal M&E plan was not developed. However, drafting committee and Project Steering Committee meetings were documented and well followed up. The follow-up of recommendations of the Mid-term Review 2012 was implemented by strengthening the training component.	Satisfactory
M&E Plan Implementation (use for adaptive management)	There was no formal work plan for the entire project life span, but only for the 'active 'phase which was developed early on in the project. The implementation of outputs was closely monitored through the progress in the guideline documents. Major changes to the project were not communicated to GEF and not documented. Day-to-day management was informal, and therefore little documented.	Moderately Satisfactory
Budgeting and Funding for M&E activities	The project design set apart sufficient funding for the M&E activities. However not all of this was used for this purpose.	Satisfactory

Criterion	Evaluator's summary comments	Evaluator's rating
Project management	Overall, there was a very good cooperation among project partners, consultants, the private sector and academia which enhanced the quality of the project.	Highly satisfactory
UNIDO specific ratings	The UNIDO project management improved consistently during the project. While during the first months the management was not providing such clear guidance, this changed after six months. UNIDO's project management was highly commended for its responsiveness to ideas, the introduction and implementation of the peer review and its commitment. The project manager was also intensely involved in drafting one of the documents and contributed thus decisively to submitting the documents to the SSC as early as possible.	Highly satisfactory
Quality at entry	The project was approved much later than initially expected due to the GEF and UNIDO endorsement processes. This initial delay rendered the implementation of project a challenge as timelines were not adjusted accordingly.	Unsatisfactory
Implementation approach	Despite the many changes in the project implementation, leading to its successful end, it was never sought to formalise them through a project revision.	Moderately unsatisfactory
UNIDO supervisions and backstopping	Project Manager and staff were highly involved and through their decisions improved the quality of the main outcome (guidance document).	Highly satisfactory

Criterion	Evaluator's summary comments	Evaluator's rating
Overall rating	Despite a late start and initial coordination shortcomings, the project took pace towards the end and gave the quality assurance process priority, despite unplanned, thus enhancing the quality of the main outcome (guidance documents) considerably.	Satisfactory

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency. Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency. Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency. Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency. Unsatisfactory (US). The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency. Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

4. Conclusions, recommendations and lessons learnt

4.1. Conclusions

Project design

The project was well designed reflecting a good structure up to output level, especially by including a validation process in countries. It lacked however, to specify the actual outcome level, as to how the outputs would be used to improve/change the situation in countries. In the project document, project outputs are presented as outcomes. Also, given the complexity of some of the guidance documents, their high relevance for the SC process, their reference character and wide distribution, no peer review was foreseen in the project. However, it was the peer review that proved to be a highly relevant step for the scientific validation of the guidelines, for the transparency of the process, to show lack of bias and to render the acceptance of the guidance by the COP more likely.

Project relevance

The project was highly relevant due to the reference character of the guidance documents, their wide distribution and their importance within the Stockholm Convention process. The project was also highly relevant from a scientific point of view, since two of the guidance documents involved relatively new technologies, as well as research on alternatives to POPs which had not been previously available, and whose drafting involved input from countries, industry and academia. Also, this project was well in line with the programmatic priorities of the institutions involved: GEF, SSC, UNITAR and UNIDO. Contacts with academia and industry could be further consolidated through their participation in some phases of the project implementation.

Efficiency

In this project elements of both high efficiency and weak efficiency can be found. The project was able to make up for some of the delay by staff, due to the high commitment by all project partners, UNITAR, the SSC and individual consultants of the drafting team as well as UNIDO staff. Through the insertion of an unplanned and cost-free activity – the peer review – the project was able to assure higher scientific quality, at no additional cost as reviewers worked for free and within a four-week period. As the peer-review was taking place in parallel to the pilot workshops, this meant no further delay. Some outputs were not delivered in the planned format. By the time of the mid-term review 2012, the document had deviated considerably from the project document and the deviations were not sufficiently documented or not at all. The fact that the programme manager was directly involved in the drafting of one of the documents, more than planned, led to a high workload.

Effectiveness

Quality of project outputs was given its due place by adding a peer review process to the validation process within countries. This contributed crucially the quality of the guidance documents. In addition to the three planned pilot workshops, other validation workshops and webinars were held in coordination with the SSC's regional centres (synergies).

The guidance documents are all on the SCC's website, but not all of them are available in the six UN languages. The database was not established. The training components were fully completed, but were annexed to the guidance documents, rather than available as one 'package'. Printed copies were not prepared due to new policy guidelines regarding the printing of documents in both the SSC and UNIDO.

Project monitoring system

A formal and well-documented monitoring system was not in place. However, progress on the different guidance documents was closely monitored through the drafting committee and teleconferences, most of which were documented. Some project elements were not well monitored, documented or archived; this makes reconstruction of management activities and decisions cumbersome.

Sustainability

Contrary to what had been expected and which was probably an underlying assumption in this project, the COP-6 did not fully express its acceptance of the guidance documents, but asked for a further review of the inventory guidance documents and for a further review of the two BAT/BEP guidance documents. One element of criticism was the lack of harmonisation with the Basel Convention's Technical Documents and a lack of referencing new technologies.

This means that most guidance documents are still in their draft version of July 2012 available on the SSC's website, apart from the two documents (BAT/BEP guidance on PFOS and PBDEs) that were updated in 2014 by the SSC. The documents are considered 'living' documents and are merely published electronically and no publication is planned, contrary to what was planned in the original document. Hence the visibility of the documents is rather low. More importantly is that they are being used by countries when preparing their first or second NIP. Currently no other guidance documents exist to replace them.

Monitoring of long-term changes

The monitoring of long-term changes was formally not planned for within the project's boundaries, as the projects guidance documents and training components were expected to be submitted to the SSC for their further use and management upon decision by the COP. It is part of the SSC's mandate to follow-up on the guidance documents, their use and the feedback by parties of the Convention. Through the implementation of NIP update projects, the project managers of EA and update projects do monitor the use of the guidance by countries when supporting them in preparing their second NIPs.

Project coordination

The project coordination structure was complex from the outset. Given changes in UNIDO personnel and the underestimation of the task, this led to a lack of clarity about roles and responsibilities. Once the drafting team was complete, the team members worked smoothly and effectively together under joint guidance from the SSC, UNIDO and UNITAR. Some major unplanned activities were carried out without being documented; this makes it difficult to trace the decision-making process within the project.

Gender

Gender concerns were not at the forefront of this project, neither at the design, implementation or follow-up stage. However, in GEF-5 this aspect was not included as a standard.

Procurement

The overall process for of the main subcontract in this project took 3 and half months. Two reasons wee accountable for that. The project document had not been signed yet at that time and it took time to resolve the issue as to where to budget UNITAR's project support costs.

Other observations

There was no cooperation with other UN agencies in this project, despite the fact that, in particular, UNDP and UNEP are also implementing EA and NIP update projects and that UNEP was going to develop screening and analysis methods containing the new POPs.³⁰

Some statements made in the MTR 2012 could not be verified during this evaluation (see co-financing).

³⁰ Screening and analysis methods of products containing new POPs were developed (This activity will be undertaken under the UNEP project on "Establishing the tools and methods to include the nine new POPs into the GMP").

4.2. Recommendations

Recommendations to GEF:

- 1 It is recommended that for such global projects that generate reference documents for Conventions, special implementation arrangements be developed that reflect more realistically the actual guidance role of the Convention Secretariat by possibly giving it the responsibility for project management and financial administration.
- 2 It is recommended that GEF projects that are highly relevant for the further proceedings of a Convention mechanism, and that are as tightly linked in their timeline to the COP mechanism, as it was the case in this project, undergo an accelerated endorsement process in GEF in order not to slow down the Convention's proceedings.
- 3 It is recommended that GEF Scientific and Technical Advisory Panel (STAP) play a more active role in the peer review phase of this type of projects of high relevance for the Convention and for GEF.

Recommendation to UNIDO and SSC:

- 4 It is recommended that both the SSC and UNIDO ensure that the decision-making processes are better documented, monitored and archived to allow for management staff, external persons, such as evaluators and auditors, or new staff to be able to re-construct the project's sequence and basis for decisions easily and swiftly. It also is necessary for accountability, transparency and for good project management to do so. Without such documentation, knowledge management is rendered difficult.

Recommendations to UNIDO:

- 5 In view of the wide application of the deliverables and their effect on the implementation of the Convention, it is recommended that in projects of this type, at least one peer review process be included so as to avoid bias, improve the quality of the deliverables and to enhance transparency.
- 6 It is recommended that project documents and correspondence be archived in a way that is independent of project staff's roles, so that information and data can be found easily. For evaluations, project information should be made accessible from the outset, ideally in the form of access to the monitoring and evaluation system.
- 7 It is recommended that the remaining budget of the project be used to print courtesy copies (not computer printouts) of the guidelines (even if still in draft), and hand them to project managers of NIP update projects, to co-financing donors and to project partners. This is both to increase the visibility of the deliverables, but also to increase the guidance documents being used as work documents or for reference by stakeholders directly involved.

As an alternative to this afore-mentioned, it is recommended that the remainder of the budget be spent to ‘finalise’ or ‘package’ the training components in a format that allows stakeholders to access relevant information quickly for all guidance documents; examples of good practice should be included therein. There should be more promotion on informal learning tools for this technical topic such as You-tube videos, so that countries’ stakeholders can learn more easily from one another.

4.3. Lessons learnt

- 1 Include representatives of the Basel Convention in the peer review process to better stress the synergies between the two Conventions.
- 2 Conduct two drafting workshops with all contributors present in the final drafting process for large publication projects, as it was an excellent choice in this case, results in avoiding to a large extent further teleconferences and email correspondence. This contributed to the high quality and efficient harmonization of the guidance documents.
- 3 Include in the peer review process also other agencies, such as UNEP and UNDP, which also support countries in the implementation of Enabling Activities and NIP update projects for the Stockholm Convention.

Annexes

- Annex 1: List of persons contacted**
- Annex 2: Documents consulted**
- Annex 3: Evaluation matrix**
- Annex 4: Screen shot of the website of the Stockholm Convention showing guidance documents developed under outcome 1 of this project**
- Annex 5: Achievement of project output and outcome based on project results framework**
- Annex 6: Project dates, Project framework, Co-financing**
- Annex 7: Terms of reference**

Annex 1: Stakeholders met/interviewed

Date	Person	Function
21 May 27 May 3 June	Fukuya Iino	Industrial Development Officer PTC/ENV/SCU, UNIDO
28 May 2015	Erlinda Galvan	Associate Industrial Development Officer, UNIDO
29 May 6 June	Maren Mellendorf	International expert on environmental projects, PTC/ENV/SCU, UNIDO
29 May	Alfredo.Cuevas Jacome	Industrial Development Officer, PTC/ENV/SCU, UNIDO
10 June	Klaus Tyrkko	Chief of Stockholm Convention Unit, UNIDO
12 June	Juergen Hierold	GEF Coordinator, UNIDO
16 June	Peggy Macaigne	Consultant, Stockholm Convention UNIT, UNIDO, NIP update project
17 June	Reiner Arndt	Former board member of the SC's POPRC committee
17 June	Loretta Li	Consultant, PFOs/PBDE inventories/ BAT/BEP, final editing
18 June	Ana Priceputu	Programme Officer, Scientific Support Branch, Stockholm Convention Secretariat
18 June	Jacqueline Alvares	Programme Officer, Technical Assistance Branch, Stockholm Convention Secretariat
19 June	Roland Weber	International consultant specialized on PFOs
22 June	Carlo Lupi	International Consultant (project drafter)
22 June	Brandon Turner	Consultant, (UNITAR staff member, responsible with UNIDO and for subcontract outputs)
26 June	Frank Moser	Programme Officer, Conventions operation Branch, Stockholm Convention Secretariat
30 June	Heinz Leuenberger	Chief Advisor, PTC/ENV/IRE, UNIDO (Former Director of UNIDO Environment Branch)

Annex 2: Documents consulted

A General documents

- GEF Guidelines for GEF Agencies in conducting terminal evaluations, 2008.
- GEF monitoring and evaluation policy 2010
- UNIDO evaluation policy

B Project related documents

- UNIDO Independent terminal evaluation: Development of the guidelines for updating of national implementation plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention, Vienna 2013
- Management response sheet for the follow-up of recommendations
- UNIDO project progress and final reports
- Project document
- Interoffice memorandum of 9 Oct 2013 summarizing MTR 2012 recommendations
- Budget revisions
- Procurement orders
- Work plans
- TOR and correspondence, subcontract with UNITAR
- Project endorsement documented
- Guidelines documents (Guidance for Developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants, Draft July 2012 and others)
- Training components (fact sheets, slide shows and exercises)
- Pilot workshop reports
- Minutes of meetings, teleconferences, drafting workshops
- Back-to office reports
- Peer review questionnaire and answers
- Training of trainers workshop material

C Other

- UNIDO Independent evaluation of UNIDO projects: Enabling activities to review and update the National Implementation Plans for the Stockholm Convention on POPs, Vienna, 2015
- Guidelines for developing a national implementation Plan for the Stockholm Convention, UNEP, May 2007
- UNIDO Independent thematic evaluation: UNIDO's work in the area of Persistent Organic Pollutants (POPs), 2012

Annex 3: Evaluation matrix

Evaluation criterion	Evaluation questions (in addition to TOR)	Documents consulted	Interviews (guided interviews by phone or in person)
(A) Project design	<p>A.1. Has the project design been fit for purpose, sufficiently budgeted and timed?</p> <p>A.2. Were the indicators well formulated, did the project cascade well Outcome-outputs?</p> <p>A.3 Was the suggested approach realistic (life-cycle approach)</p> <p>A.4. To what extent has the project design contributed to the success/failure of the project?</p> <p>A.5 To what extent does the endorsement process and the delay it caused has repercussions on the project implementation?</p>	Project document, endorsement, budget, work plan	UNIDO and SSC staff, Consultant (Project drafter) GEF FP at UNIDO
(B) Relevance	<p>B.1 ...at countries' level</p> <p>B.2 ...for UNIDO's</p> <p>B.3 ... for executing agencies assisting states in preparing their NIPs</p> <p>B.4 for industry and other relevant sectors?</p>	Programme policies of GEF, UNIDO, SSC, UNITAR	Rotterdam/ Basel Convention Secretariats UNITAR, SSC, Country stakeholders Project managers of EA projects
(C) Effectiveness	C.1. Has the project produced its intended results within the expected timeframe?	PSC minutes Drafting committee minutes Documents of validation process (report on pilot	UNIDO, SSC, PSC members, peer reviewers,

Evaluation criterion	Evaluation questions (in addition to TOR)	Documents consulted	Interviews (guided interviews by phone or in person)
	<p>C.2. Did delays/changes affect project relevance?</p> <p>C.3. Did PSC members perceive that coordination was fruitful?</p> <p>C.4. How were additional activities decided?</p>	workshops, peer review questionnaire)	Workshop facilitators, Sample countries Consultants of guidance documents
(D) Efficiency	<p>D.1. To which extent was cost efficiency given priority, in the situation of time constraints and required expertise, simultaneous consultancies?</p> <p>D.2. Project outputs/outcomes produced within time/budget (delays, additions)?</p> <p>D.3. How were quality concerns weighted with regards to least-cost options?</p>	Work plans monitoring/progress reports Budget revisions	Face-to face interview with project staff, SSC, and UNITAR staff Basel/ Rotterdam Convention Units Rotterdam/ Basel Convention Secretariats
(E) Sustainability	<p>E.1. How can the guidance documents' use be ensured over several years?</p> <p>E.2 To what extent are the training components used today?</p> <p>E.3. How will sustainability (continuous updating) of the guidelines be ensured?</p> <p>E.4. To what extent has the effectiveness been less sustainable due to the omission of the training component?</p>	NIP EA projects	Guided interviews, SSC UNIDO GEF UNITAR

Evaluation criterion	Evaluation questions (in addition to TOR)	Documents consulted	Interviews (guided interviews by phone or in person)
	<p>E.5. Which parts of the training package are used more often, which less often?</p> <p>E.6. To what extent are training and guidance cross-referenced?</p>		
(F) Assessment of monitoring and evaluation systems	<p>F.1. Did the project has an M&E plan? If so what type?</p> <p>F.2. Application of M&E: are indicators used, was baseline established, data compiled, evaluations/ reviews undertaken as planned?</p> <p>F.3. M&E set-up as planned, budgets disbursed?</p> <p>F.4. Any meeting after submission of documents to SSC? No</p> <p>F. 5.How much budget disbursed June/July disbursed?</p>	<p>Progress/final reports</p> <p>UNITAR final report</p> <p>Budget revisions</p> <p>Work plans</p>	<p>UNIDO GEF focal point</p> <p>project manager/ Branch chief</p> <p>SSC</p> <p>PSC members</p>
(G) Monitoring of long-term changes	<p><i>A monitoring of long-term changes was not foreseen as part of the project, as project's results were handed over to the SSV. The SSV administers and monitors the further use and changes of the project's outputs as part of their mandate.</i></p>	<p>SC's website with feedback comments by countries</p> <p>SSC interview</p> <p>Interview with consultant who integrated comments</p>	<p>EA project managers/ implementing agencies and SSC</p>
(H) Processes affecting achievement of results	<p>H.1. What would you do differently if you had to implement the project again?</p> <p>H.2. In retrospect which elements would you have</p>	<p>See A-C</p>	<p>Project staff, SSC, UNITAR, consultants, peer reviewers</p>

Evaluation criterion	Evaluation questions (in addition to TOR)	Documents consulted	Interviews (guided interviews by phone or in person)
	<p>included/excluded from the start in the project document?</p> <p>H.3. How important are the consultants in this type of project? Their educational/professional background?</p> <p>H.4. How important do you consider the meetings, such as the PSC or drafting committee for coordination?</p> <p>H.5. How important would you rate the validation process?</p> <p>H.6. How important was the discussions to find the right way between academic accuracy versus the applicability and user-friendliness?</p>		
(I) Project coordination and management	<p>I.1. Who was mainly responsible for the monitoring of progress?</p> <p>I.2. Was this task shared between different persons/institutions as per project document?</p> <p>I.3. Were roles clear?</p> <p>I.4. How did the PSC and the drafting committee work together?</p> <p>I.5. The consultant that was recruited for chairing the project, was s/he also drafting? Percentage-wise how of each?</p>	<p>- project document</p> <p>- Minutes of meetings</p> <p>- change of allotment holder (date)</p>	<p>SSC, UNITAR, project staff, consultants</p>

Evaluation criterion	Evaluation questions (in addition to TOR)	Documents consulted	Interviews (guided interviews by phone or in person)
(J) Gender mainstreaming	Gender distribution - Project staff - Consultants - PSC members - Peer reviewers - Workshops attendants and presenters	Reports of pilot workshops, peer review questionnaire, workshop participants	
(K) Procurement issues	Questionnaire as per TOR, annex A, p.40/41 K.1 How fast was the UNITAR contract processed?	Subcontract file Subcontract Procurement orders	Z. Pinjo L. Galvan

Annex 4: Screen shot of the website of the Stockholm convention showing guidance documents developed under outcome 1 of this project

NIPs

- Overview
- Decisions & Recommendations
- NIPs Transmission
- Guidance
 - Guidance Supporting Documents
 - Workshops

Communications

Output 1.2
General guidance for customs on use of commercial/trade names

Request for comments on Guidance for NIP development and update

Decision SC-6/10(BAT and BEP for PFOS and BOES): Request for comments

Output 1.7

Decision SC-8/12 (NIP): Request for comments on guidance documents

Submissions

Output 1.1a
Request for comments for NIP development and update

Output 1.5a
Decision SC-6/10(BAT and BEP for PFOS and BOES)

Output 1.1b
Comments on draft

Output 1.5b

Output 1.3

Output 1.4

National Implementation Plans Guidance

In decision SC-4/9, the COP requested the Secretariat to identify any additional guidance that might be required to assist Parties in their implementation of the Convention. In response to this request and as a follow up to decision SC-5/14, the Secretariat, in collaboration with the United Nations Industrial Development Organization and the United Nations Institute for Training and Research, and with the financial support of the Global Environment Facility has updated relevant existing guidance and developed new guidance to assist parties in the process of developing, reviewing and updating National Implementation Plans under the Convention.

The development of the guidance was accompanied by different activities to ensure that the documents being developed addressed the needs of Parties, were practical, user friendly, applicable and technically and scientifically correct. Three pilots were undertaken in close collaboration with two Stockholm Convention Regional Centres (Czech Republic and India). The pilot testing included the use, thorough review and feedback of the guidance documents as well as a workshop. The countries where the guidance document were pilot tested are [Serbia](#), [Nigeria](#) and [India](#). A [peer-reviewing](#) process was part of the development of the guidance.

In decisions [SC-6/10](#) and [SC-6/12](#), the COP took note of the guidance and encouraged parties to use them and provide comments by 31 March 2014 and 31 October 2014. The requests for information can be accessed [here](#). The comments received for decision SC-6/10 are available [here](#) and for decision SC-6/12 [here](#).

The guidance available to assist Parties in developing, revising and updating their NIPs are as follows:

Guidance for NIP development and update

- [Guidance for Developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants](#)
- [Guidance for the review and updating of national implementation plans](#)
- [Draft guidance on calculation of action plan costs for specific POPs](#)
- [Draft guidance on Socio-Economic Assessment for National Implementation Plan Development and Implementation under the Stockholm Convention](#)
- [Draft guidance for the inventory of perfluorooctane sulfonic acid \(PFOS\) and related chemicals listed under the Stockholm Convention on POPs](#)
- [Draft guidance on best available techniques and best environmental practices for the use of perfluorooctane sulfonic acid \(PFOS\) and related chemicals](#)
- [Draft guidance for the inventory of polybrominated diphenyl ethers \(PBDEs\) listed under the Stockholm Convention on POPs](#)
- [Draft guidance on best available techniques and best environmental practices for the recycling and waste disposal of articles containing polybrominated diphenyl ethers \(PBDEs\) listed under the Stockholm Convention on POPs](#)
- [Draft guidance for the control of the import and export of POPs](#)
- [Labelling of products or articles that contain POPs-initial considerations](#)

Annex 5: Achievement of project outputs and outcomes based on project results framework³¹

	OVis	TE 2015
Outcome 1: Development of specific guidance on new POPs, updating existing guidance with the information related to new POPs and preparation of an integrated package		All guidance document are on the SSC's website; the database was not developed (output 1.6)
Output 1.1: "Guidance for establishing inventory of products/ articles containing new POPs and industrial processes using new POPs" developed	Compilation of international information prepared	Version 1 was tested at pilot workshops
	List of known uses of products/articles containing new POPs	It is currently on the SSC's website and has been split into two documents
	List of wastes and stockpiles potentially containing new POPs	
	Questionnaire for information collection developed	
	Version 1 of Guidance for establishing inventory of products/articles containing new POPs prepared	
Output 1.2: "General guidance for customs on use of commercial/ trade names" developed	Current status of nomenclature, commercial/trade names used for new POPs reviewed	Yes, document is on the SSC website, but under the title 'Supporting documents'
	Version 1 of the Guidance in English prepared	Yes
	Translation of revised version 1 of "General guidance for customs on use of commercial/trade names" translated in six UN languages	No, as translation were only done after version 2 was finalised
Output 1.3: "Guidance for strengthening regulatory framework to enable regular monitoring of imported products/ articles that may contain new POPs" developed	Gaps on existing regulatory framework / voluntary agreements identified	Yes
	Decision tree and tool/manual	Yes
	Version 1 of the Guidance in English prepared	Yes, and presented/tested during pilot workshops
	Translation of revised version 1 of "Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs" in English" in six UN languages	No, only after version 2
Output 1.4: "Guidance on labelling of products/ articles that contain new POPs or use	Current practices on labelling of products / articles that contain new POPs assessed	Yes, published on the SSC website under the title 'Initial Consideration- Labelling of products /articles that contain new POPs or use new POPS during

³¹The information in this table is based on the documents available

Annex 5: Achievement of project outputs and outcomes based on project results framework

	OVis	TE 2015
new POPs during manufacture” developed		manufacture’
	List of uses of new POPs during manufacturing process	Yes, this is part of the guidance documents
	Version 1 of “Guidance on labelling of products/articles that contain new POPs or use new POPs during manufacture” prepared	Yes, on the SSC website
	Translation of revised version 1 of “Guidance on labelling of products/articles that contain new POPs or use new POPs during manufacture” in six UN languages	No, only after version 2 was finalized
Output 1.5: Guidance for best available technology and best environmental practices for industrial chemicals developed	Information on BAT/BEP for production and use of PFOS compiled	Yes
	Version 1 of “Guidance on BAT/BEP for production and use of PFOS” developed	Yes, presented and tested during pilot workshops
	Version 1 of “Guidance for BAT/BEP of recycling and waste disposal of articles containing BDEs” developed	Yes, presented and tested during pilot workshops
	Translation of revised version 1 of the two Guidance documents in six UN languages	No, as translations were done only after version 2 was finalized
Output 1.6: Database with readily accessible international information useful for developing and updating National Implementation Plans(NIPs) under the Stockholm Convention in place	List of available technology and vendors for recycling and disposal	No
	List of options for control measures to eliminate/restrict production and use of new POPs	No
	List of replacement to new POPs including alternative chemicals and processes prepared in due time	No
	Version 1 of a database and websites with cross-links prepared	No, as database was not developed.
Output 1.7: Updated and consolidated package of “Guidance for developing and updating a National Implementation Plan (NIP) under the Stockholm Convention” taking into account the new POPs added to the Convention, prepared	Version 2 of the guidance in English (listed above) prepared	Yes
	Publications in hard copies and electronic format available online	No, due to new publication policy at the SSC
	Translation of updated and consolidated Guidance for developing and updating National Implementation Plans (NIPs)” under the Stockholm Convention into Arabic, Chinese, French, Spanish, and Russian	No. Document only available in English.

	OVis	TE 2015
Outcome 2: Strengthening of capacity and validation of the guidance documents for developing and updating a NIP under the Stockholm Convention focusing on new POPs chemicals		Yes. All training components developed, but not available in one package. Pilot workshops carried out as planned.
Output 2.1: Approach for capacity strengthening to implement the updated and consolidated "guidance for developing a National implementation plan under the Stockholm Convention taking into account the new POPs added to the Convention" established		Yes, UNITAR final report
	Training package including instructional book, training programme, presentation slides prepared	Yes. See UNITAR final report. Training is annexed to the respective guidance documents and not compiled into one training 'package'
	Number of participants; number of relevant institutions represented in the training	50 participants per pilot workshops in Serbia, Nigeria and India, Source: Workshops reports, Back-to-Office Mission reports by UNIDO staff
Output 2.2: Feedback and lessons learned from pilot testing of version 1 of the guidance documents in three countries from different regions consolidated	Selection criteria for pilot testing of the version 1 of the guidance document established	Yes
	Terms of reference for pilot testing of Version 1 of the guidance documents prepared	Yes, UNITAR and the SSC in cooperation
	MOU with 3 countries selected for pilot testing initiated	Yes, MoUs prepared by the SSC
	Consolidated list of pilot inventory of products/articles containing new POPs and processes using new POPs in 3 pilot countries prepared	This was done as part of the pilot workshop exercises
	Validation of updated and consolidated guidance for developing and updating a NIP and approach for capacity strengthening for implementation	Yes, altogether four pilot workshops were held, two regional centre workshops and a number of webinars
	Feedback on the above guidance received	Yes, questionnaire was developed for that purpose. Feedback received, but not as much as expected.
Outcome 3: Establishment of project management structure including monitoring and evaluation		Several outputs were not fully realised. But the most important ones have been completed.
Output 3.1: Project management	PSC established including list of members	In April 2011 the first PSC took place.
	TORs and contracts of technical experts and	Some TORs were part

Annex 5: Achievement of project outputs and outcomes based on project results framework

	OVis	TE 2015
structure established	working groups prepared	of the document. TORs of the drafting committee were not developed
Output 3.2: An M&E mechanism according to GEF M&E procedures designed and implemented	Updated impact indicators	The project did not formulate impact indicators.
	Annual reports and PIRs completed	Yes, documents available.
	Annual PSC meetings held	PSC meetings were held, but none after July 2012
	Audit reports result prepared in due time	So far no external or internal audit was conducted
	Mid-term evaluation completed	In October 2013 the final version of the report was circulated. ³²
	Final evaluation held	May - July 2015
	Project terminal report completed	No information available
	Financial audit completed	No information available
	Dedicated MIS established and information disseminated	No information available

³² The final version of the report was circulated in October 2013; the mid-term review took place in 2012 (July to September)

Annex 6: Project dates, project framework, co-financing

Table 6: Project dates

Milestone	Expected Date	Actual Date
Project CEO endorsement/approval date	n/a – no official information exists	9 Feb 2011 (GEF approval) 31 Mar 2011 (UNIDO approval)
Project implementation start date (PAD issuance date)	n/a – no official information	19 April 2011
Original expected implementation end date (indicated in CEO endorsement/approval document)	30 April 2013	n/a
Revised expected implementation end date (if any)	30 September 2014	
Terminal evaluation completion	n/a	August 2015
Planned tracking tool date	n/a	n/a

Source: UNIDO GEF-coordinator

Table 7: Project framework

Project component	Activity type	GEF Financing (in USD)		Co-financing (in USD)	
		Approved	Actual	Promised	Actual
Parties have appropriate guidance for updating their NIPs considering the new POPs added to the convention (Outcome 1)	Experts hired, subcontract, staff time	445,000	445,000	347,000	Could not be verified
Strengthening of capacity and validation on the guidance for developing and updating a NIP under the SC focusing on new POPs chemicals (Outcome 2)	Workshops, travel expenses, experts, subcontract, staff time	214,000	214,000	523,400	Could not be verified
Establishment of project management structure including monitoring and evaluation (Outcome 3).	Meetings, evaluation consultants, staff time	60,000	60,000	152,000	Could not be verified
Total		719,000	719,000	1,022,700	

Table 8: Co-financing (without in-kind contributions)

Source of co-financing	Type	Project preparation		Project implementation		Total	
		Expected	Actual	Expected	Actual	Expected	Actual
Host gov't contribution	-						
GEF Agency(-ies)	-						
Govt. of Norway Evaluation of alternatives for new POPs and to enable implementation of NIP in Nigeria				108,000	194,179	108,000	194,179
EU awareness raising in all region				511,000	463,056	511,000	463,056
Private sector	-						
NGO	-						
Other	-						
Total co-financing				693,000	657,235	693,000	657,235

Annex 6: ContinuedTable 9: Comparison of co-funding indicated in project document and co-financing figures submitted to evaluation^{33 34}

Funding partner	Project budget USD	Details reflected on project budget	Details of expenditure	Amount USD
Co-funding from Norway				
Co-funding from Norway	108,000	SVFT through a grant by the government of Norway: Activities to support work on the evaluation of alternatives and other work related to the restriction and elimination of new POPs.	MOU with Ministry of Environmental Protection (MEP), China on “national workshop on implementation of nine new POPs of the SC in China.	46,000
			LOA with Thailand on new POPS.	48,000
Co-funding from Norway	74,000	SVFT through a grant by the government of Norway: Technical assistance to enable implementation of the Stockholm Convention for newly listed POPs in Nigeria.	MOU with Federal Ministry of Environment of Nigeria on the “nine new POPs and the implementation of the SC in Nigeria”.	59,700
			Consultant – nine new POPS Nigeria.	18,140
Subtotal	182,000	Subtotal		171,840
		Programme Support Cost (13%)		22,339
Co-funding from European Commission				
Co-funding from European commission	511,000	SVFT through a grant by the European Commission for the updating of NIP guidance; information exchange and awareness raising in all UN Regions; and new POPs outreach and	Pilots- India	75,000
			Pilots – Nigeria	55,000
			Pilots – RECETOX support to Serbia and India.	85,000
			Translations – Spanish & French	33,000
			Translations – Chinese	16,000
			MOU Armenia –national workshop. ³⁵	15,000
			Consultant – new POPs (Mr. Weber) (monitoring guidance).	14,000
			Consultant – NIP guidance	16,985

³³ This table includes commitments on activities yet to be undertaken, e.g. the translation.

³⁴ This table was taken from the MTR 2012. The shortfall in co-financing by the Government of Norway is most likely due to the currency exchange rate difference between the time of pledging and the time of transfer (Norwegian Kroner to USD).

³⁵ The work in China, Thailand and Armenia dealt with the first part of the process of NIP updating, where countries need to be clear on the understanding of the newly listed POPs and the things they need to do to comply with Article 7 on NIPs. These activities helped identify main issues and concerns regarding NIP updates and provided input on priorities that the guidance documents should focus on.

Annex 6: Project dates, project framework, co financing

Funding partner	Project budget USD	Details reflected on project budget	Details of expenditure	Amount USD
		training activities.	documents.	
			Consultant – collecting information on NIPs.	26,000
			Consultant (translation)	10,278
			MOU Nigeria on assessment of new POPs.	34,000
			Consultant Clearing House Mechanism.	25,000
			Consultant Clearing House Mechanism. ³⁶	27,500
Subtotal	511,000	Subtotal		432,763
		Programme Support Cost (7%)		30,293
Total	693,000			657,235

³⁶ The funds associated with the Clearing House Mechanism relate to services utilized in order to facilitate online availability of the guidance documents as part of the Clearing House Mechanism for information on POPs. In order to have the guidelines available online, these consultants worked on establishing baselines/modules for the different clearing-house functions. Furthermore they worked on technical documentation and reports concerning the developed modules, user tests, bug fixes, collection of user feedback, development and deployment of the website modules and pages for hosting a network platform.

Annex 7: Terms of reference



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE

Independent terminal evaluation of UNIDO project:

Development of the guidelines for updating of National Implementation Plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention

UNIDO project numbers: **GF/GLO/11/013**

UNIDO SAP ID: **104041**

GEF project number: **4410**

MARCH 2015

CONTENTS

<u>I.</u>	<u>PROJECT BACKGROUND AND OVERVIEW</u>	2
<u>II.</u>	<u>SCOPE AND PURPOSE OF THE EVALUATION</u>	9
<u>III.</u>	<u>EVALUATION APPROACH AND METHODOLOGY</u>	9
<u>IV.</u>	<u>EVALUATION TEAM COMPOSITION</u>	10
<u>V.</u>	<u>TIME SCHEDULE AND DELIVERABLES</u>	11
<u>VI.</u>	<u>PROJECT EVALUATION PARAMETERS</u>	11
<u>VII.</u>	<u>REPORTING</u>	18
<u>VIII.</u>	<u>QUALITY ASSURANCE</u>	19
	(i) <u>Annex 1 - Outline of an In-Depth Project Evaluation Report</u>	20
	(j) <u>Annex 2 - Overall Ratings Table</u>	23
	(k) <u>Annex 3 - GEF Minimum Requirements for M&E</u>	27
	(l) <u>Annex 4 - Checklist on Evaluation Report Quality</u>	28
	(m) <u>Annex 5 – Required Project Identification and Financial Data</u>	30
	(n) <u>Annex 6 – Job Descriptions</u>	32
	(o) <u>Annex 7 – Project Results Framework</u>	36
	(p) <u>Annex 8 – UNIDO Procurement Process</u>	42

I. Project background and overview

1. Project factsheet

Project title	Development of the guidelines for updating of national implementation plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention
GEF ID	4410
UNIDO project No. (SAP ID)	104041
Region	Global
Country(ies)	Global
GEF focal area(s) and operational programme	POPs
GEF agencies (implementing agency)	UNIDO
Project executing partners	Secretariat of the Stockholm Convention (SSC), UNITAR
Project size (FSP, MSP, EA)	MSP
Project CEO endorsement/Approval date	09 February 2011
Project implementation start date (PAD issuance date)	19 April 2011
Original expected implementation end date (indicated in CEO endorsement/Approval document)	30 March 2013
Revised expected implementation end date (if any)	31 December 2014
Actual implementation end date	31 December 2014
GEF Grant (USD)	719,000
GEF PPG (USD) (if any)	
UNIDO inputs (USD)	95,000 (in kind)
Co-financing (USD) at CEO endorsement	927,700 (in kind)
Total project cost (USD) (GEF Grant + Co-financing at CEO endorsement)	1,741,700
Mid-term review date	July – September 2012
Planned terminal evaluation date	May 2015

2. (Source: Project document) **Project summary**

The Stockholm Convention on Persistent Organic Pollutants (POPs) was adopted in May 2001 with the objective of protecting human health and the environment from toxic and hazardous POPs. It entered into force on 17 May 2004 initially listing twelve chemicals as POPs. At its 4th meeting of the Conference of Parties (COP) in May 2009, the Stockholm Convention was amended to include the following nine new POPs in annex A (Alpha hexachlorocyclohexane, Beta hexachlorocyclohexane, Chlordane, Hexabromobiphenyl, Hexabromodiphenyl ether and heptabromodiphenyl ether, Lindane, Pentachlorobenzene (also listed in annexa C), Tetrabromodiphenyl ether and pentabromodiphenyl ether) and annexa B (Perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride). The amendments entered into force for most of the Stockholm Convention Parties on 26 August 2010.

According to Article 7 of the Convention, parties are required to develop a National Implementation Plan (NIP) to demonstrate how the country will implement the obligations under the Stockholm Convention. The party should transmit the NIP to the COP within two years of the date on which the Convention entered into force for the country. Furthermore, Parties are required to review and update their NIPs in a manner specified by a decision of the COP. At the fourth meeting of the COP held from 4 to 8 May 2009, the COP considered and decided on the listing of nine new POPs to annexes A, B and C of the convention, as per recommendation of the POPs Review Committee (POPRC). Thus, most Parties to the Convention will have to review, update and submit their NIPs within two years of the date of entry into force of the amendments to the COP (August 2012).

The existing guidelines however do not provide sufficient and specific guidance to Parties necessary to fulfil their obligations under the Convention with regards to the nine new POPs.

The main difficulty indicated by Parties is how to obtain information on the new POPs especially concerning three groups of widely used industrial chemicals – commercial mixtures of pentabromodiphenyl ether and octabromodiphenyl ether (BDEs), and perfluorooctane sulfonates (PFOS), due to the complexity of the use and the many sectors of society involved in the use of these chemicals.

The objective of the project is to provide a full set of guidance that will enable Parties to develop, review and update their NIP in a timely manner with the information relating to the new POPs added to the Stockholm Convention. The set of guidance to be developed under the proposed project would become part of the updated and consolidated “*Guidance for developing a National Implementation Plan for the Stockholm Convention*”. The developed guidance will enable countries to identify chemicals in products/articles, establish inventories, undertake national surveillance of imported products or products in the market whether they contain chemicals listed under the Stockholm Convention in order to ensure implementation of Article 3 and control illegal trafficking, and to handle production and use, recycling and waste disposal of industrial chemicals including BDEs and PFOS. Such guidance will be useful for all countries globally both Parties and non-Parties for environmental sound life-cycle management as well as sound trade of chemicals.

The project is funded through a GEF grant, amounting to USD 719,000, a UNIDO contribution of USD 95,000; and the counterparts’ co-financing of USD 927,700 which amount to total project budget of USD 1,741,700.

The project implementation started in April 2011 and the initial project end date was in March 2013.

An external final, as well as external mid-term, evaluations are foreseen in the project document, with the purpose of conducting a systematic and impartial assessment of the project in line with UNIDO and GEF Evaluation policies. The mid-term evaluation took place from July – September 2012. The terminal evaluation is planned to take place in May 2015.

3. Project objective

The general objective of the project is to develop a full set of consolidated guidance including new guidance tools and updated existing guidance and to validate them in order to ensure applicability of the guidance which will assist countries in the preparation and updating their NIPs under the Stockholm Convention, considering the new obligation Parties have to comply with the listing of the 9 new POPs.

The developed guidance will enable countries to identify chemicals in products/articles, establish inventories, undertake national surveillance of imported products or products in the market whether they contain chemicals listed under the Stockholm Convention in order to ensure implementation of Article 3 and control illegal trafficking, and to handle production and use, recycling and waste disposal of industrial chemicals including BDEs and PFOS. Such guidance will be useful for all countries globally both Parties and non-Parties for environmental sound life-cycle management as well as sound trade of chemicals.

The **three project outcomes** are as follows:

- Parties have appropriate guidance for updating their NIPs considering the new POPs added to the Convention
- Strengthening of capacity and validation on the guidance for developing and updating a National Implementation Plan under the Stockholm Convention focusing on new POPs chemicals
- Establishment of project management structure including monitoring and evaluation

The consolidated set of guidance provisionally entitled “Guidance for developing and updating a National Implementation Plan (NIP) under the Stockholm Convention” will consist of the following eight supporting guiding tools which will be developed under this project, as well as revised existing guidance, and will be linked with other guidance on new POPs developed outside of this project (e.g. guidance on alternatives to new POPs):

- Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs
- General guidance for customs on use of commercial/trade names
- Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs
- Guidance on labelling of products/articles that contain new POPs or use new POPs during manufacture
- Guidance for BAT and BEP for production and use of PFOS
- Guidance for BAT and BEP for the recycling and waste disposal of articles containing BDEs

- Database with readily accessible international information useful for development of national
- NIPs under the Stockholm Convention

The existing guidance listed below will be revised taking into account the needs originating from the listing of the 9 new POPs under the Convention:

- UNEP/POPS/COP.2/INF/7 “Guidance for developing a National Implementation Plan”
- Annex to decision SC-1/12 “Guidance for the review and updating of national implementation plans”
- Annex to decision SC-2/7 “Elaborated process of reviewing and updating national implementation plans”
- UNEP/POPS/COP.3/INF/8 “Guidance on social and economic assessment in the development and implementation of their national implementation plans”
- UNEP/POPS/COP.4/INF/11 “Additional guidance on the calculation of action plan costs, including incremental costs and action plans for specific persistent organic pollutants.

The objective of the pilot testing that will be performed as a third component of the project is to validate and evaluate the applicability of the guidance and revise to produce a final version (ver.2) of the guidance by March 2012.

An initial set of guidance (ver.1) will be made available at the COP5 in April 2011. A pilot testing will be performed to validate and evaluate the applicability of the guidance and revise to produce a final version (ver.2) of the guidance in six official languages of the United Nations by March 2012 to warrant that Parties have sufficient and suitable guidance for updating the NIP and transmitting it in a required time frame.

4. Mid-term evaluation

The mid-term evaluation took place from July – September 2012 (See report from October 2013). The project was a well-designed intervention with a coherent underlying logic that focused on developing, field testing and improving guidelines for the updating of NIPs. Some project activities faced a delay. However, despite the slow start, the project successfully compressed 24 months of project activity into 18 months and delivered a comprehensive set of guidance documents (Outcome 1) that are deemed to be of good quality by relevant stakeholders. The success of the project in developing these guidelines appears to be due largely to the personal commitment and the investment of a huge amount of time and effort by key project partners, including representatives of UNIDO, SSC and UNITAR as well as the experts contracted to develop these documents, rather than the use of an effective and articulated project management system. Main findings of the MTE are summarized below, according to the evaluation criteria:

Relevance: high

Effectiveness: high

Efficiency: given, although the project suffered a 6-months delay

Sustainability: 3 risks were identified which might adversely affect sustainability of the project

- guidance documents might quickly become outdated as the new field of POPs management develops and evolves

- financial resources for the NIP updating process will be insufficient for the proper implementation of the methodologies contained in the guidance documents
- Parties will not utilize guidance documents effectively: stakeholders involved in the pilot testing indicated that the guidance documents are technical in nature and that stakeholders in developing countries will require training in order to allow them to utilize the guidance documents properly

5. Project implementation arrangements

UNIDO will be the **GEF implementing agency (IA)** for the project. A project focal point will be established within UNIDO to assist with project execution. This focal point will consist of dedicated core staff, supplemented by support staff colleagues on a part-time basis as required, supervised by a senior professional staff engaged in the management and coordination of UNIDO's POPs and chemical management program. UNIDO will make these services available as part of its contribution to the project.

UNITAR will act as an **executing agency (EA)**, subcontracted on specific task assignments by UNIDO, as specified in the project document.

Secretariat of the Stockholm Convention (SSC) will provide overall technical support as well as policy guidance and steering throughout the entire project activities to facilitate and ensure completion of the project.

Stockholm convention regional and subregional centres have been endorsed by the COP in its decision SC-4/23 for the purpose of capacity-building and the transfer of technology to assist developing country Parties and Parties with economies in transition to fulfil their obligations under the Convention. Therefore, the Stockholm Convention Regional and Subregional Centres, coordinated by the SSC, will provide input to the development of the training modules. The Centres will deliver training and capacity building activities where trainees will evaluate the guidance for further improvement. The Centres will work closely with SSC, UNITAR and UNIDO to provide feedback to the guidance.

Project Steering Committee (PSC). The PSC consists of representatives of UNIDO, SSC, and UNITAR.

Technical Project Team (TPT). The TPT will be established on a needed basis for undertaking specific tasks. It will include policy experts, POPs management and disposal industry experts, chemists, monitoring & evaluation experts and other technical experts as required.

6. Budget information

The project is funded through a GEF grant, amounting to USD 719,000, a UNIDO contribution of USD 95,000; and the counterparts' co-financing of USD 927,700 which amount to total project budget of USD 1,741,700.

Overall cost and financing is shown in the table below (including co-financing):

Project outcomes	Co-financing (incl. UNIDO) (USD)	GEF (USD)	Total (USD)
Parties have appropriate guidance for updating their NIPs considering the new POPs added to the convention.	347,300	445,000	792,300
Strengthening of capacity and validation on the guidance for developing and updating a national implementation plan under the Stockholm Convention focusing on new POPs chemicals.	523,400	214,000	737,400
Establishment of project management structure including monitoring and evaluation.	152,000	60,000	212,000
Total	1,022,700	719,000	1,741,700

Source: project document

Costs planned for each outcome are shown in the figure below:

By GEF	Year 1 USD	Year 2 USD	Total USD
Outcome 1	246,000	199,000	445,000
Outcome 2	127,000	87,000	214,000
Outcome 3	39,000	21,000	60,000
Total	412,000	307,000	719,000

Source: project document

b) UNIDO budget execution (GEF funding excluding agency support cost):

Item	EXECUTED BUDGET in 2011	EXECUTED BUDGET in 2012	EXECUTED BUDGET in 2013	EXECUTED BUDGET in 2014	EXECUTED BUDGET in 2015	Total Expenditure (2010- present)
						(04 Mar.)
Contractual services		340,000		5,584		345,584.00
Equipment			1,101			1,100.66
Internat. Cons/Staff		190,200	16,634	9,912		216,745.96
Internat. meetings		80,297	-2,383			77,913.88
Local travel		66,461	-1,434			65,027.16
Nat. Consult./Staff						0.00
Other direct costs		16,027	-2,967			13,059.68
Total		692,984.79	10,950.80	15,495.75	0.00	719,431.34

Source: SAP database, 04 March 2015

II. Scope and purpose of the evaluation

A mid-term evaluation (MTE) has been carried out from July – September 2012. As a major part of the activities had been carried out till then, these were included in the scope of the MTE. Therefore, the terminal evaluation (TE) **would cover the time period October 2012 till the end of the project and the activities carried out during this period.** It will assess project performance against the evaluation criteria: relevance, effectiveness, efficiency, sustainability and impact. **The findings of the MTE would be updated with new findings, which would then be included in the TE report.**

The terminal evaluation has an additional purpose of drawing lessons and developing recommendations for UNIDO and the GEF that may help for improving the selection, enhancing the design and implementation of similar future projects and activities in the country and on a global scale upon project completion. The terminal evaluation report should include examples of good practices for other projects in a focal area, country, or region.

The evaluation team should provide an analysis of the attainment of the main objective and specific objectives under the three core project components. Through its assessments, the evaluation team should enable the Government, counterparts, the GEF, UNIDO and other stakeholders and donors to verify prospects for development impact and sustainability, providing an analysis of the attainment of global environmental objectives, project objectives, delivery and completion of project outputs/activities, and outcomes/impacts based on indicators. The assessment includes re-examination of the relevance of the objectives and other elements of project design according to the project evaluation parameters defined in chapter VI.

The key question of the terminal evaluation is whether the project has achieved or is likely to achieve the objective of developing a full set of consolidated guidance including new guidance tools and updating existing guidance and to validate them in order to ensure applicability of the guidance which will assist countries in the preparation of and updating their NIPs under the Stockholm Convention, considering the new obligation Parties have to comply with the listing of the 9 new POPs.

III. Evaluation approach and methodology

The terminal evaluation will be conducted in accordance with the UNIDO Evaluation Policy, the UNIDO Guidelines for the Technical Cooperation Programmes and Projects, the GEF's 2008 Guidelines for Implementing and Executing Agencies to Conduct Terminal Evaluations, the GEF Monitoring and Evaluation Policy from 2010 and the Recommended Minimum Fiduciary Standards for GEF Implementing and Executing Agencies.

It will be carried out as an independent in-depth evaluation using a participatory approach whereby all key parties associated with the project are kept informed and regularly consulted throughout the evaluation. The evaluation team leader will liaise with the UNIDO Office for Independent Evaluation (ODG/EVA) on the conduct of the evaluation and methodological issues.

The evaluation team will be required to use different methods to ensure that data gathering and analysis deliver evidence-based qualitative and quantitative information, based on diverse sources: desk studies and literature review, statistical analysis, individual interviews, focus group meetings, surveys and direct observation. This approach will not only enable the evaluation to assess causality through quantitative means but also to provide reasons for why certain results were achieved or not and to

triangulate information for higher reliability of findings. The concrete mixed methodological approach will be described in the inception report.

The evaluation team will develop interview guidelines.

The methodology will be based, as required, on the following:

1. A desk review of project documents including, but not limited to:
 - (a) The original project document, monitoring reports (such as progress and financial reports to UNIDO and GEF annual Project Implementation Review (PIR) reports), MTE report, output reports (case studies, action plans, sub-regional strategies, etc.) and relevant correspondence.
 - (b) Notes from the meetings of committees involved in the project (e.g. approval and steering committees).
 - (c) Other project-related material produced by the project.
2. The evaluation team will use available models of (or reconstruct if necessary) theory of change for the different types of intervention (enabling, capacity, investment, demonstration). The validity of the theory of change will be examined through specific questions in interviews and possibly through a survey of stakeholders.
3. Counterfactual information: In those cases where baseline information for relevant indicators is not available the evaluation team will aim at establishing a proxy-baseline through recall and secondary information.
4. Interviews with project management and technical support including staff and management at UNIDO HQ and in the field and – if necessary - staff associated with the project’s financial administration and procurement.
5. Interviews with project partners including Government counterparts, GEF focal points and partners that have been selected for co-financing as shown in the corresponding sections of the project documents.
6. Interviews with intended users for the project outputs and other stakeholders involved with this project. The evaluator shall determine whether to seek additional information and opinions from representatives of any donor agencies or other organizations.
7. Interviews with the UNIDO’s relevant field offices and the project’s management and Project Steering Committee (PSC) members and the various national and sub-regional authorities dealing with project activities as necessary. If deemed necessary, the evaluator shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.
8. Other interviews, surveys or document reviews as deemed necessary by the evaluator and/or UNIDO ODG/EVA.
9. The inception report will provide details on the methodology used by the evaluation team and include an evaluation matrix.

IV. Evaluation team composition

Considering the MTE conducted in 2012, and the scale of the project, MSP, the evaluation will be carried out by one international evaluation consultant.

The evaluation consultant should be able to provide information relevant for follow-up studies, including evaluation verification on request to the GEF partnership up to two years after completion of the evaluation.

The consultant will be contracted by UNIDO. The tasks are specified in the job descriptions attached to these terms of reference.

The evaluation consultant must not have been directly involved in the design and/or implementation of the programme/projects.

The Project Manager at UNIDO and the Project Team will support the evaluation consultant. The UNIDO GEF Coordinator will be briefed on the evaluation and equally provide support to its conduct.

V. Time schedule and deliverables

The evaluation is scheduled to take place in the period from **1 May 2015** to **30 June 2015**. At the end, there will be a presentation of the preliminary findings for all stakeholders involved in this project. The draft Terminal evaluation report will be submitted 4-6 weeks later.

VI. Project evaluation parameters

The evaluation consultant will rate the projects. The ***ratings for the parameters described in the following sub-chapters A to J will be presented in the form of a table*** with each of the categories rated separately and with **brief justifications for the rating** based on the findings of the main analysis. An overall rating for the project should also be given.

A. Project design

The evaluation will examine the extent to which:

- the project's design is adequate to address the problems at hand;
- a participatory project identification process was instrumental in selecting problem areas and national counterparts;
- the project has a clear thematically focused development objective, the attainment of which can be determined by a set of verifiable indicators;
- the project was formulated based on the logical framework (project results framework) approach;
- the project was formulated with the participation of national counterpart and/or target beneficiaries; and
- relevant country representatives (from government, industries and civil society) have been appropriately involved and were participating in the identification of critical problem areas and the development of technical cooperation strategies.

B. Project relevance

The evaluation will examine the extent to which the project is relevant to the:

- National development and environmental priorities and strategies of the Government and population, and regional and international agreements. See possible evaluation questions under “Country ownership/driveness” below.
- Target groups: relevance of the project’s objectives, outcomes and outputs to the different target groups of the interventions (e.g. companies, civil society, beneficiaries of capacity building and training, etc.).
- GEF’s focal areas/operational programme strategies: In retrospect, were the project’s outcomes consistent with the focal areas/operational program strategies of GEF? Ascertain the likely nature and significance of the contribution of the project outcomes to the wider portfolio of GEF’s Focal area and Operational Program of Climate Change: CC-2 Promoting energy efficiency in the industrial sector.
- UNIDO’s thematic priorities: Were they in line with UNIDO’s mandate, objectives and outcomes defined in the programme & budget and core competencies?
- Does the project remain relevant taking into account the changing environment? Is there a need to reformulate the project design and the project results framework given changes in the country and operational context?

C. Effectiveness: objectives and planned final results at the end of the project

- The evaluation will assess to what extent results at various levels, including outcomes, have been achieved. In detail, the following issues will be assessed: To what extent have the expected outputs, outcomes and long-term objectives been achieved or are likely to be achieved? Has the project generated any results that could lead to changes of the assisted institutions? Have there been any unplanned effects?
- Are the project outcomes commensurate with the original or modified project objectives? If the original or modified expected results are merely outputs/inputs, the evaluator should assess if there were any real outcomes of the project and, if there were, determine whether these are commensurate with realistic expectations from the project.
- How do the stakeholders perceive the quality of outputs? Were the targeted beneficiary groups actually reached?
- What outputs and outcomes has the project achieved so far (both qualitative and quantitative results)? Has the project generated any results that could lead to changes of the assisted institutions? Have there been any unplanned effects?
- Identify actual and/or potential longer-term impacts or at least indicate the steps taken to assess these (see also below “monitoring of long term changes”). Wherever possible, evaluator(s) should indicate how findings on impacts will be reported in future.
- Describe any catalytic or replication effects: the evaluation will describe any catalytic or replication effect both within and outside the project. If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out. No ratings are requested for the project’s catalytic role.

D. Efficiency

The extent to which:

- The project cost was effective? Was the project using the least cost options?
- Has the project produced results (outputs and outcomes) within the expected time frame? Was project implementation delayed, and, if it was, did that affect cost effectiveness or results? Wherever possible, the evaluator should also compare the costs incurred and the time taken to achieve outcomes with that for similar projects. Are the project's activities in line with the schedule of activities as defined by the project team and annual work plans? Are the disbursements and project expenditures in line with budgets?
- Have the inputs from the donor, UNIDO and Government/counterpart been provided as planned, and were they adequate to meet requirements? Was the quality of UNIDO inputs and services as planned and timely?
- Was there coordination with other UNIDO and other donors' projects, and did possible synergy effects happen?

E. Assessment of sustainability of project outcomes

Sustainability is understood as the likelihood of continued benefits after the GEF project ends. Assessment of sustainability of outcomes will be given special attention but also technical, financial and organization sustainability will be reviewed. This assessment should explain how the risks to project outcomes will affect continuation of benefits after the GEF project ends. It will include both exogenous and endogenous risks. The following four dimensions or aspects of risks to sustainability will be addressed:

- **Financial risks.** Are there any financial risks that may jeopardize sustainability of project outcomes? What is the likelihood of financial and economic resources not being available once GEF assistance ends? (Such resources can be from multiple sources, such as the public and private sectors or income-generating activities; these can also include trends that indicate the likelihood that, in future, there will be adequate financial resources for sustaining project outcomes.) Was the project successful in identifying and leveraging co-financing?
- **Sociopolitical risks.** Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?
- **Institutional framework and governance risks.** Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits? Are requisite systems for accountability and transparency, and required technical know-how, in place?
- **Environmental risks.** Are there any environmental risks that may jeopardize sustainability of project outcomes? Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? The evaluation should assess whether certain activities will pose a threat to the sustainability of the project outcomes.

F. Assessment of monitoring and evaluation systems

- **M&E design.** Did the project have a M&E plan to monitor results and track progress towards achieving project objectives? The Evaluation will assess whether the project met the minimum requirements for the application of the Project M&E plan (see Annex 3).
- **M&E plan implementation.** The evaluation should verify that a M&E system was in place and facilitated timely tracking of progress toward project objectives by collecting information on chosen indicators continually throughout the project implementation period; annual project reports were complete and accurate, with well-justified ratings; the information provided by the M&E system was used during the project to improve performance and to adapt to changing needs; and the project had an M&E system in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure. Were monitoring and self-evaluation carried out effectively, based on indicators for outputs, outcomes and impacts? Are there any annual work plans? Was any steering or advisory mechanism put in place? Did reporting and performance reviews take place regularly?
- **Budgeting and funding for M&E activities.** In addition to incorporating information on funding for M&E, while assessing M&E design, the TE will determine whether M&E was sufficiently budgeted for at the project planning stage and whether M&E was adequately funded and in a timely manner during implementation.

G. Monitoring of long-term changes

The M&E of long-term changes is often incorporated in GEF-supported projects as a separate component and may include determination of environmental baselines; specification of indicators; and provisioning of equipment and capacity building for data gathering, analysis, and use. This section of the evaluation report will describe project actions and accomplishments toward establishing a long-term monitoring system. The review will address the following questions:

- a. Did this project contribute to the establishment of a long-term monitoring system? If it did not, should the project have included such a component?
- b. What were the accomplishments and shortcomings in establishment of this system?
- c. Is the system sustainable—that is, is it embedded in a proper institutional structure and does it have financing? How likely is it that this system continues operating upon project completion?
- d. Is the information generated by this system being used as originally intended?

H. Assessment of processes affecting achievement of project results

Among other factors, when relevant, the evaluation will consider a number of issues affecting project implementation and attainment of project results. The assessment of these issues can be integrated into the analyses of project design, relevance, effectiveness, efficiency, sustainability and management as the evaluators find them fit (it is not necessary, however it is possible to have a separate chapter on these aspects in the evaluation report). The evaluation will consider, but need not be limited to, the following issues that may have affected project implementation and achievement of project results:

- a. **Preparation and readiness / Quality at entry.** Were the project's objectives and components clear, practicable, and feasible within its time frame? Were counterpart resources (funding, staff, and facilities), and adequate project management arrangements in place at project entry? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project approval?
- b. **Country ownership/ drivenness.** Was the project concept in line with the sectoral and development priorities and plans of the country—or of participating countries, in the case of multi-country projects? Are project outcomes contributing to national development priorities and plans? Were the relevant country representatives from government and civil society involved in the project? Did the recipient government maintain its financial commitment to the project? Has the government—or governments in the case of multi-country projects—approved policies or regulatory frameworks in line with the project's objectives?
- c. **Stakeholder involvement.** Did the project involve the relevant stakeholders through information sharing and consultation? Did the project implement appropriate outreach and public awareness campaigns? Were the relevant vulnerable groups and powerful supporters and opponents of the processes properly involved? Which stakeholders were involved in the project (i.e. NGOs, private sector, other UN Agencies etc.) and what were their immediate tasks? Did the project consult with and make use of the skills, experience, and knowledge of the appropriate government entities, nongovernmental organizations, community groups, private sector entities, local governments, and academic institutions in the design, implementation, and evaluation of project activities? Were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process taken into account while taking decisions? Were the relevant vulnerable groups and the powerful, the supporters and the opponents, of the processes properly involved?
- d. **Financial planning.** Did the project have appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds? Was there due diligence in the management of funds and financial audits? Did promised co-financing materialize? Specifically, the evaluation should also include a breakdown of final actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing.
- e. **UNIDO's supervision and backstopping.** Did UNIDO staff identify problems in a timely fashion and accurately estimate their seriousness? Did UNIDO staff provide quality support and advice to the project, approve modifications in time, and restructure the project when needed? Did UNIDO provide the right staffing levels, continuity, skill mix, and frequency of field visits for the project?
- f. **Co-financing and project outcomes and sustainability.** If there was a difference in the level of expected co-financing and the co-financing actually realized, what were the reasons for the variance? Did the extent of materialization of co-financing affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?

- g. **Delays and project outcomes and sustainability.** If there were delays in project implementation and completion, what were the reasons? Did the delays affect project outcomes and/or sustainability, and, if so, in what ways and through what causal linkages?
- h. **Implementation approach³⁷.** Is the implementation approach chosen different from other implementation approaches applied by UNIDO and other agencies? Does the approach comply with the principles of the Paris Declaration? Does the approach promote local ownership and capacity building? Does the approach involve significant risks?

The evaluator will rate the project performance as required by the GEF. The ratings will be given to four criteria: Project Results, Sustainability, Monitoring and Evaluation, and UNIDO related issues as specified in Annex 2. The ratings will be presented in a table with each of the categories rated separately and with brief justifications for the rating based on the findings of the main analysis. An overall rating for the project should also be given. The rating system to be applied is specified in the same annex. As per the GEF's requirements, the report should also provide information on project identification, time frame, actual expenditures, and co-financing in the format in Annex 5, which is modeled after the GEF's project identification form (PIF).

I. Project coordination and management

The extent to which:

- The national management and overall coordination mechanisms have been efficient and effective? Did each partner have assigned roles and responsibilities from the beginning? Did each partner fulfil its role and responsibilities (e.g. providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions...)?
- The UNIDO HQ and Field Office based management, coordination, monitoring, quality control and technical inputs have been efficient, timely and effective (problems identified timely and accurately; quality support provided timely and effectively; right staffing levels, continuity, skill mix and frequency of field visits...)?
- The national management and overall coordination mechanisms were efficient and effective? Did each partner have specific roles and responsibilities from the beginning till the end? Did each partner fulfill its role and responsibilities (e.g. providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions...)? Were the UNIDO HQ based management, coordination, quality control and technical inputs efficient, timely and effective (problems identified timely and accurately; quality support provided timely and effectively; right staffing levels, continuity, skill mix and frequency of field visits...)?

J. Assessment of gender mainstreaming

³⁷ Implementation approach refers to the concrete manifestation of cooperation between UNIDO, Government counterparts and local implementing partners. Usually POPs projects apply a combination of agency execution (direct provision of services by UNIDO) with elements of national execution through sub-contracts.

The evaluation will consider, but need not be limited to, the following issues that may have affected gender mainstreaming in the project:

- To which extent were socioeconomic benefits delivered by the project at the national and local levels, including consideration of gender dimensions?

K. Procurement issues

The following evaluation questions that will feed in the Thematic Evaluation on Procurement have been developed and would be included as applicable in all projects (for reference, please see annex 9 of the ToR: UNIDO Procurement Process):

- To what extent does the process provide adequate treatment to different types of procurement (e.g. by value, by category, by exception...)
- Was the procurement timely? How long does the procurement process take (e.g. by value, by category, by exception...)
- Did the good/item(s) arrive as planned or scheduled? If no, how long were the times gained or delays. If delay, what was the reason(s)?
- Were the procured good(s) acquired at a reasonable price?
- To what extent were the procured goods of the expected/needed quality and quantity?
- Were the transportation costs reasonable and within budget. If no, please elaborate.
- Was the freight forwarding timely and within budget? If no, please elaborate.
- Who was responsible for the customs clearance? UNIDO FO? UNDP? Government? Other?
- Was the customs clearance handled professionally and in a timely manner? How many days did it take?
- How long time did it take to get approval from the government on import duty exemption?
- Which were the main bottlenecks / issues in the procurement process?
- Which good practices have been identified?
- To what extent roles and responsibilities of the different stakeholders in the different procurement stages are established, adequate and clear?
- To what extent there is an adequate segregation of duties across the procurement process and between the different roles and stakeholders?

VII. Reporting

Inception report

This terms of reference provides some 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 International Evaluation Consultant will prepare a short inception report that will operationalize the ToR relating to the evaluation questions and provide information on what type of and how the evidence will be collected (methodology). It will be discussed with and approved by the responsible UNIDO Evaluation Officer. 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”); people to be interviewed and possible surveys to be conducted and a debriefing and reporting timetable³⁸.

Evaluation report format and review procedures

The draft report will be delivered to UNIDO Office for Independent Evaluation – ODG/EVA (the suggested report outline is in annex 1) and circulated to UNIDO staff and national stakeholders associated with the project for factual validation and comments. Any comments or responses, or feedback on any errors of fact to the draft report provided by the stakeholders will be sent to UNIDO ODG/EVA for collation and onward transmission to the project evaluation team who will be advised of any necessary revisions. On the basis of this feedback, and taking into consideration the comments received, the evaluator will prepare the final version of the terminal evaluation report. A presentation of preliminary findings will take place at UNIDO HQ.

The terminal evaluation report should be brief, to the point and easy to understand. It must explain the purpose of the evaluation, exactly what was evaluated, and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should 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 in annex 1.

Evaluation work plan

The “Evaluation work plan” includes the following main products:

1. Desk review, briefing by project manager and development of methodology: Following the receipt of all relevant documents, and consultation with the Project Manager about the documentation, including reaching an agreement on the Methodology, the desk review could be completed.

³⁸ The evaluator will be provided with a Guide on how to prepare an evaluation inception report prepared by the UNIDO Office for Independent Evaluation.

2. Inception report: At the time for departure to the field mission, the complete gamete of received materials have been reviewed and consolidated into the Inception report.
3. Preliminary findings: Following the interviews and desk review, the main findings, conclusions and recommendations would be prepared and presented at UNIDO Headquarters.
4. A draft terminal evaluation report will be forwarded electronically to the UNIDO Office for Independent Evaluation and circulated to main stakeholders.
5. Final terminal evaluation report will incorporate comments received.

Evaluation phases	Deliverables
Desk review	Development of methodology approach and evaluation tools
Briefing with UNIDO Office for Independent Evaluation, project managers and other key stakeholder at HQ	Interview notes, detailed evaluation schedule and list of stakeholders to interview during field mission
Data analysis	Inception evaluation report
Present preliminary findings and recommendations to the stakeholders at UNIDO HQ	Presentation slides
Analysis of the data collected	Draft terminal evaluation report
Circulation of the draft report to UNIDO/relevant stakeholders and revision	Final terminal evaluation report

VIII. Quality assurance

All UNIDO evaluations are subject to quality assessments by the UNIDO Office for Independent Evaluation. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process of UNIDO's Office for Independent Evaluation, providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report by the Office for Independent Evaluation). The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as annex 4. The applied evaluation quality assessment criteria are used as a tool to provide structured feedback. UNIDO's Office for Independent Evaluation 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 Office for Independent Evaluation, which will submit the final report to the GEF Evaluation Office and circulate it within UNIDO together with a management response sheet.

Annex 1 - Outline of an in-depth project evaluation report

Executive summary

- Must provide a synopsis of the storyline which includes the main evaluation findings and recommendations
- Must present strengths and weaknesses of the project
- Must be self-explanatory and should be 3-4 pages in length

I. Evaluation objectives, methodology and process

- Information on the evaluation: why, when, by whom, etc.
- Scope and objectives of the evaluation, main questions to be addressed
- Information sources and availability of information
- Methodological remarks, limitations encountered and validity of the findings

II. Countries and project background

- Brief countries context: an overview of the economy, the environment, institutional development, demographic and other data of relevance to the project
- Sector-specific issues of concern to the project³⁹ and important developments during the project implementation period
- Project summary:
 - Fact sheet of the project: including project objectives and structure, donors and counterparts, project timing and duration, project costs and co-financing
 - Brief description including history and previous cooperation
 - Project implementation arrangements and implementation modalities, institutions involved, major changes to project implementation
 - Positioning of the UNIDO project (other initiatives of government, other donors, private sector, etc.)
 - Counterpart organization(s)

III. Project assessment

This is the key chapter of the report and should address all evaluation criteria and questions outlined in the TOR (see section VI Project Evaluation Parameters). Assessment must be based on factual evidence collected and analyzed from different sources. The evaluators' assessment can be broken into the following sections:

- A. Design
- B. Relevance (Report on the relevance of project towards countries and beneficiaries)
- C. Effectiveness (The extent to which the development intervention's objectives and deliverables were achieved, or are expected to be achieved, taking into account their relative importance)
- D. Efficiency (Report on the overall cost-benefit of the project and partner Countries contribution to the achievement of project objectives)

³⁹ Explicit and implicit assumptions in the logical framework of the project can provide insights into key-issues of concern (e.g. relevant legislation, enforcement capacities, government initiatives, etc.)

- E. Sustainability of Project Outcomes (Report on the risks and vulnerability of the project, considering the likely effects of sociopolitical and institutional changes in partner countries, and its impact on continuation of benefits after the GEF project ends, specifically the financial, sociopolitical, institutional framework and governance, and environmental risks)
- F. Assessment of monitoring and evaluation systems (Report on M&E design, M&E plan implementation, and Budgeting and funding for M&E activities)
- G. Monitoring of long-term changes
- H. Assessment of processes affecting achievement of project results (Report on preparation and readiness / quality at entry, country ownership, stakeholder involvement, financial planning, UNIDO support, co-financing and project outcomes and sustainability, delays of project outcomes and sustainability, and implementation approach)
- I. Project coordination and management (Report project management conditions and achievements, and partner countries commitment)
- J. Gender mainstreaming
- K. Procurement issues

At the end of this chapter, an overall project achievement rating should be developed as required in Annex 2. The overall rating table required by the GEF should be presented here.

IV. Conclusions, recommendations and lessons learned

This chapter can be divided into three sections:

A. Conclusions

This section should include a storyline of the main evaluation conclusions related to the project's achievements and shortfalls. It is important to avoid providing a summary based on each and every evaluation criterion. The main conclusions should be cross-referenced to relevant sections of the evaluation report.

B. Recommendations

This section should be succinct and contain few key recommendations. They should:

- be based on evaluation findings
- realistic and feasible within a project context
- indicate institution(s) responsible for implementation (addressed to a specific officer, group or entity who can act on it) and have a proposed timeline for implementation if possible
- be commensurate with the available capacities of project team and partners
- take resource requirements into account.

Recommendations should be structured by addressees:

- UNIDO
- Government and/or Counterpart Organizations
- Donor/GEF

C. Lessons learned

- Lessons learned must be of wider applicability beyond the evaluated project but must be based on findings and conclusions of the evaluation
- For each lesson the context from which they are derived should be briefly stated

Annexes should include the evaluation TOR, list of interviewees, documents reviewed, a summary of project identification and financial data, and other detailed quantitative information. Dissident views or management responses to the evaluation findings may later be appended in an annex.

Annex 2 - Overall ratings table

Criterion	Evaluator's summary comments	Evaluator's rating
Attainment of project objectives and results (overall rating), sub criteria (below)		
Design		
Effectiveness		
Relevance		
Efficiency		
Sustainability of project outcomes (overall rating) Sub criteria (below)		
Financial risks		
Sociopolitical risks		
Institutional framework and governance risks		
Environmental risks		
Monitoring and evaluation (overall rating) Sub criteria (below)		
M&E design		
M&E plan implementation (use for adaptive management)		
Budgeting and funding for M&E activities		
Project management		
UNIDO specific ratings		
Quality at entry / Preparation and readiness		
Implementation approach		
UNIDO supervision and backstopping		
Overall rating		

RATING OF PROJECT OBJECTIVES AND RESULTS

- Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.
- Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be**

higher than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

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

Rating system for sustainability sub-criteria

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

- Likely (L): There are no risks affecting this dimension of sustainability.
- Moderately Likely (ML). There are moderate risks that affect this dimension of sustainability.
- Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability.
- Unlikely (U): There are severe risks that affect this dimension of sustainability.

All the risk dimensions of sustainability are critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in either of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

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

The Project monitoring and evaluation system will be rated on 'M&E Design', 'M&E plan implementation' and 'Budgeting and funding for M&E activities' as follows:

- Highly Satisfactory (HS): There were no shortcomings in the project M&E system.
- Satisfactory(S): There were minor shortcomings in the project M&E system.
- Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.
- Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.
- Unsatisfactory (U): There were major shortcomings in the project M&E system.
- Highly Unsatisfactory (HU): The Project had no M&E system.

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

All other ratings will be on the GEF six point scale:

HS	= Highly Satisfactory	Excellent
S	= Satisfactory	Well above average
MS	= Moderately Satisfactory	Average
MU	= Moderately Unsatisfactory	Below Average
U	= Unsatisfactory	Poor
HU	= Highly Unsatisfactory	Very poor (Appalling)

Annex 3 - GEF minimum requirements for M&E⁴⁰

Minimum requirement 1: Project design of M&E

All projects will include a concrete and fully budgeted monitoring and evaluation plan by the time of work program entry for full-sized projects and CEO approval for medium-sized projects. This monitoring and evaluation plan will contain as a minimum:

- SMART indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management;
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, indicators identified at the corporate level;
- Baseline for the project, with a description of the problem to be addressed, with indicator data, or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation;
- Identification of reviews and evaluations that will be undertaken, such as mid-term reviews or evaluations of activities; and
- Organizational set-up and budgets for monitoring and evaluation.

Minimum requirement 2: Application of project M&E

Project monitoring and supervision will include implementation of the M&E plan, comprising:

- SMART indicators for implementation are actively used, or if not, a reasonable explanation is provided;
- SMART indicators for results are actively used, or if not, a reasonable explanation is provided;
- The baseline for the project is fully established and data compiled to review progress reviews, and evaluations are undertaken as planned; and
- The organizational set-up for M&E is operational and budgets are spent as planned.

⁴⁰ http://www.thegef.org/gef/sites/thegef.org/files/documents/ME_Policy_2010.pdf

Annex 4 - Checklist on evaluation report quality

Independent terminal evaluation of UNIDO-GEF project:

PROJECT TITLE:

PROJECT NUMBER:

CHECKLIST ON EVALUATION REPORT QUALITY

Report quality criteria	UNIDO Office for Independent evaluation assessment notes	Rating
A. The terminal evaluation report presented an assessment of all relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable.		
B. The terminal evaluation report was consistent, the evidence presented was complete and convincing, and the ratings were well substantiated.		
C. The terminal evaluation report presented a sound assessment of sustainability of outcomes.		
D. The lessons and recommendations listed in the terminal evaluation report are supported by the evidence presented and are relevant to the GEF portfolio and future projects.		
E. The terminal evaluation report included the actual project costs (totals, per activity, and per source) and actual co-financing used.		
F. The terminal evaluation report included an assessment of the quality of the M&E plan at entry, the operation of the M&E system used during implementation, and the extent M&E was sufficiently budgeted for during preparation and properly funded during implementation.		

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

Annex 5 – Required project identification and financial data

The evaluation report should provide information on project identification, time frame, actual expenditures, and co-financing in the following format, which is modeled after the project identification form (PIF).

I. Project general information:

Project title	
GEF ID No.	
UNIDO project No. (SAP ID)	
Region	
Country(ies)	
GEF Focal area and operational programme:	
Co-implementing agency(ies)	
GEF Agencies (implementing agency)	
Project executing partners	
Project size (FSP, MSP, EA)	
Project CEO endorsement/approval date	
Project implementation start date (PAD issuance date)	
Original expected Implementation end date (indicated in CEO endorsement/approval document)	
Revised expected implementation end date (if any)	
Project duration (months)	
GEF grant (USD)	
GEF PPG (USD) (if any)	-
Co-financing (USD) at CEO endorsement	
Total project cost (USD) (GEF grant + Co-financing at CEO endorsement)	
Agency fee (USD)	

II. Dates

Milestone	Expected Date	Actual Date
Project CEO endorsement/approval date		
Project implementation start date (PAD issuance date)		
Original expected implementation end date (indicated in CEO endorsement/approval document)		
Revised expected implementation end date (if any)		
Terminal evaluation completion		
Planned tracking tool date		

III. Project framework

Project component	Activity type	GEF Financing (in USD)		Co-financing (in USD)	
		Approved	Actual	Promised	Actual
1.					
2.					
3.					
4.					
5.					
6. Project management					
Total					

Activity types are:

- a) Experts, researches hired
- b) technical assistance, workshop, meetings or experts consultation scientific and technical analysis, experts researches hired
- c) Promised co-financing refers to the amount indicated on endorsement/approval.

IV. Co-financing

Source of co-financing	Type	Project preparation		Project implementation		Total	
		Expected	Actual	Expected	Actual	Expected	Actual
Host gov't contribution							
GEF Agency(-ies)							
Bilateral aid agency(ies)							
Multilateral agency(ies)							
Private sector							
NGO							

Other							
Total co-financing							

Expected amounts are those submitted by the GEF Agencies in the original project appraisal document. Co-financing types are grant, soft loan, hard loan, guarantee, in kind, or cash.

Annex 6 – Job descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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

Title:	International evaluation consultant
Main Duty Station and Location:	Home based
Missions:	Missions to Vienna, Austria
Start of Contract (EOD):	April 1, 2015
End of Contract (COB):	June 30, 2015
Number of Working Days:	21 working days spread over 2 months

1. ORGANIZATIONAL CONTEXT

The Office for Independent Evaluation is responsible for the independent evaluation function of UNIDO. It supports learning, continuous improvement and accountability, and provides factual information about result and practices that feed into the programmatic and strategic decision-making processes. Evaluation is an assessment, as systematic and impartial as possible, of a programme, a project or a theme. Independent evaluations provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons learned into the decision-making processes at organization-wide, programme and project level. The Office for Independent Evaluation is guided by the UNIDO Evaluation Policy, which is aligned to the norms and standards for evaluation in the UN system.

2. PROJECT CONTEXT

According to Article 7 of the Stockholm Convention on Persistent Organic Pollutants, Parties are required to develop a National Implementation Plan (NIP) to demonstrate how the country will implement the obligations under the Stockholm Convention. The Party should transmit the NIP to the COP within two years of the date on which the Convention entered into force for the country. Furthermore, Parties are required to review and update their NIPs in a manner specified by a decision of the COP. At the fourth meeting of the COP held from 4 to 8 May 2009, the COP considered and decided on the listing of nine new POPs to annex A, B and C of the convention, as per recommendation of the POPs Review Committee (POPRC). Thus, most Parties to the

Convention will have to review, update and submit their NIPs within two years of the date of entry into force of the amendments to the COP (August 2012).

The existing guidelines however do not provide sufficient and specific guidance to Parties necessary to fulfil their obligations under the Convention with regards to the nine new POPs.

The main difficulty indicated by Parties is how to obtain information on the new POPs especially concerning three groups of widely used industrial chemicals – commercial mixtures of pentabromodiphenyl ether and octabromodiphenyl ether (BDEs), and perfluorooctane sulfonates (PFOS), due to the complexity of the use and the many sectors of society involved in the use of these chemicals.

The objective of the project is to provide a full set of guidance that will enable Parties to develop, review and update their NIP in a timely manner with the information relating to the new POPs added to the Stockholm Convention. The set of guidance to be developed under the proposed project would become part of the updated and consolidated “Guidance for developing a National Implementation Plan for the Stockholm Convention”. The developed guidance will enable countries to identify chemicals in products/articles, establish inventories, undertake national surveillance of imported products or products in the market whether they contain chemicals listed under the Stockholm Convention in order to ensure implementation of Article 3 and control illegal trafficking, and to handle production and use, recycling and waste disposal of industrial chemicals including BDEs and PFOS.

Detailed background information of each project can be found the Terms of Reference (TORs) for the terminal evaluation.

3. DUTIES AND RESPONSIBILITIES

Main duties	Concrete/ Measurable outputs to be achieved	Working days	Location
1. Review project documentation and relevant background information (national policies and strategies, UN strategies and general economic data); determine key data to collect and adjust the key data collection instrument of 3A accordingly (if needed); Assess the adequacy of legislative and regulatory framework relevant to the project's activities and analyze other background info.	<ul style="list-style-type: none"> • Adjust table of evaluation questions, depending on country specific context; • Draft list of stakeholders to interview; • Brief assessment of the adequacy of the country's legislative and regulatory framework. 	3 days	HB
2. Briefing with the UNIDO Office for Independent Evaluation, project managers and other key stakeholders at UNIDO HQ. Preparation of the inception report.	<ul style="list-style-type: none"> • Detailed evaluation schedule (incl. list of stakeholders to interview); • Inception report • Conduct interviews with relevant project stakeholders, etc. for the collection of data and clarifications; • Interviews with the Stockholm Convention Office in Geneva 	5 days	Vienna, Austria

Main duties	Concrete/ Measurable outputs to be achieved	Working days	Location
4. Present overall findings and recommendations to the stakeholders at UNIDO HQ ⁴¹	<ul style="list-style-type: none"> • Presentation slides, feedback from stakeholders obtained and discussed 	2 days	Vienna, Austria
5. Prepare the evaluation report according to TOR; Coordinate the inputs from the stakeholders and combine with her/his own inputs into the draft evaluation report.	<ul style="list-style-type: none"> • Draft evaluation report. 	6 days	HB
6. Revise the draft project evaluation reports based on comments from UNIDO Office for Independent Evaluation and stakeholders and edit the language and form of the final version according to UNIDO standards.	<ul style="list-style-type: none"> • Final evaluation report. 	5 days	HB
	TOTAL	21 days	

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education:

Advanced degree in environment, energy, engineering, development studies or related areas

Technical and functional experience:

- Knowledge about multilateral technical cooperation and the UN, international development priorities and frameworks.
- Knowledge of and experience in environmental projects management and/or evaluation (of development projects)
- Working experience in developing countries
- Experience in evaluation of GEF energy projects and knowledge of UNIDO activities an asset

Languages:

Fluency in written and spoken English is required.

Reporting and deliverables

- 1) At the beginning of the assignment the Consultant will submit a concise Inception Report that will outline the general methodology and presents a concept Table of Contents;
- 2) Debriefing at UNIDO HQ:

⁴¹ The debriefings at Vienna could be combined for two or all three countries, depending on the timing of field missions. The advantage of a joint presentation is that similarities and differences between countries can be compared and discussed.

- Presentation and discussion of findings;
- Concise summary and comparative analysis of the main results of the evaluation report.

All reports and related documents must be in English and presented in electronic format.

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 Office for Independent Evaluation.

Annex 7 – Project results framework

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
Outcome 1: Development of specific guidance on new POPs, updating existing guidance with the information related to new POPs, and preparation of an integrated package			
Output 1.1: “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” developed			
<p><i>Activity 1.1.1:</i> Compile accessible international information on products/articles containing new POPs through the establishment of a database and network with industry sectors</p> <p><i>Activity 1.1.2:</i> Develop tools for initial identification: A list of known uses including historical use of new POPs, a list of products/articles potentially containing new POPs including recycled articles, and a list of wastes and stockpiles potentially containing new POPs, a sample of effective questionnaire for information collection</p> <p><i>Activity 1.1.3:</i> Develop a step-by-step guide that enables Party to establish inventory of products/articles containing new POPs and industrial processes using new POPs, integrate deliverables of Activity 1.1.1 and 1.1.2 to produce ver. 1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” in English</p> <p><i>Activity 1.1.4:</i> Revise ver.1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> ➤ Compilation of international information prepared ➤ List of known uses of products/articles containing new POPs ➤ List of wastes and stockpiles potentially containing new POPs ➤ Questionnaire for information collection developed ➤ Ver.1 of Guidance for establishing inventory of products/articles containing new POPs prepared 	<ul style="list-style-type: none"> ➤ Compiled international information on products/articles containing new POPs ➤ Report on known uses of products/articles containing new POPs including historical use of new POPs ➤ Report on products/articles potentially containing new POPs including recycled articles ➤ Report on wastes and stockpiles potentially containing new POPs ➤ Sample of effective questionnaire for information collection ➤ Ver.1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” in English ➤ Revised ver.1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” translated in six UN languages 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Sufficient expertise can be mobilized by the executing agencies thanks to the consolidated network already in place. ➤ Industries and stakeholders will cooperate in providing information concerning articles and industrial processes using new POPs ➤ Information on the historical use of new POPs is still available <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Industries /stakeholders will not cooperate or provide the relevant information ➤ Key experts leave the organization or are no more available for the assignment ➤ The assigned timeframe would not be sufficient for the activity ➤ Stakeholders’ needs not properly addressed ➤ Underestimation of the complexity of some tasks
Output 1.2: “General guidance for customs on use of commercial/trade names” developed			
<p><i>Activity 1.2.1:</i> Review of current status of nomenclature, commercial/trade names used for new POPs</p>	<ul style="list-style-type: none"> ➤ Current status of nomenclature, commercial/trade names used for new POPs reviewed 	<ul style="list-style-type: none"> ➤ Document summarizing the current status of nomenclature, commercial/trade names used for new POPs 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Information on the trade name of new POPs as products or substance is readily available

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<p><i>Activity 1.2.2:</i> Develop ver. 1 of "General guidance for customs on use of commercial/trade names" in English</p> <p><i>Activity 1.2.3:</i> Revise ver.1 of "General guidance for customs on use of commercial/trade names" based on the COP5's feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> ➤ Ver. 1 of the Guidance in English prepared ➤ Translation of revised ver.1 of "General guidance for customs on use of commercial/trade names" translated in six UN languages 	<ul style="list-style-type: none"> ➤ Copy of Ver. 1 of "General guidance for customs on use of commercial/trade names" in English ➤ Copy of revised ver.1 of "General guidance for customs on use of commercial/trade names" translated and published in six UN languages 	<p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Trade name of obsolete product difficult to identify ➤ The assigned timeframe would be not sufficient for the activity ➤ Underestimation of the complexity of some tasks
Output 1.3: "Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs" developed			
<p><i>Activity 1.3.1:</i> Gap analysis in existing regulatory framework/voluntary agreements</p> <p><i>Activity 1.3.2:</i> Decision-tree to guide Parties in conducting a regular monitoring of imported products/articles that may contain new POPs</p> <p><i>Activity 1.3.3:</i> Develop a tool/manual to undertake regular monitoring of imported products/articles</p> <p><i>Activity 1.3.4:</i> Integrate deliverables of Activity 1.3.1 -1.3.3 to produce ver. 1 of "Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs" in English</p> <p><i>Activity 1.3.5:</i> Revise ver.1 of "Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs" based on the COP5's feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> ➤ Gaps on existing regulatory framework / voluntary agreements identified ➤ Decision tree and tool/manual ➤ Ver. 1 of the Guidance in English prepared ➤ Translation of revised ver.1 of "Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs" in English" in six UN languages 	<ul style="list-style-type: none"> ➤ A document summarizing gaps in existing regulatory framework/voluntary agreements ➤ Decision-tree to guide Parties in conducting a regular monitoring of imported products/articles that may contain new POPs ➤ A tool/manual to undertake regular monitoring of imported products/articles ➤ Copy of Ver. 1 of "Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs" prepared in English ➤ Copy of revised ver.1 of "General guidance for customs on use of commercial/trade names" translated and published in six UN languages 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Sufficient expertise can be mobilized by the executing agencies thanks to the consolidated network already in place. ➤ The required information is easily accessible by the agencies due to their outstanding role in the chemical sector <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Key experts leave the organization or are no more available for the assignment ➤ The assigned timeframe would be not sufficient for the activity ➤ Stakeholders' needs not properly addressed ➤ Underestimation of the complexity of some tasks.
Output 1.4: "Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture" developed			
<p><i>Activity 1.4.1:</i> Undertake assessment of the currently implemented labeling</p> <p><i>Activity 1.4.2:</i> Develop ver.1 of "Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture" in English</p>	<ul style="list-style-type: none"> ➤ Current practices on labeling of products / articles that contain new POPs assessed ➤ List of uses of new POPs during manufacturing process ➤ Ver.1 of "Guidance on labeling of products/articles that contain new POPs or use new POPs during 	<ul style="list-style-type: none"> ➤ A document summarizing the result of assessment of the currently implemented labeling of products / articles containing new POPs ➤ Report on uses of new POPs in manufacturing process ➤ Copy of Ver.1 of "Guidance on 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Sufficient expertise can be mobilized by the executing agencies thanks to the consolidated network already in place. ➤ The required information is easily accessible by the agencies due to their outstanding role in the chemical sector

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<p><i>Activity 1.4.3:</i> Revise ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<p>manufacture” in English prepared</p> <ul style="list-style-type: none"> ➤ Translation of revised ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” in six UN languages 	<p>labeling of products/articles that contain new POPs or use new POPs during manufacture” in English</p> <ul style="list-style-type: none"> ➤ Copy of revised ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” translated and published in six UN languages 	<p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Key experts leave the organization or are no more available for the assignment ➤ The assigned timeframe would be not sufficient for the activity ➤ Stakeholders’ needs not properly addressed ➤ Underestimation of the complexity of some tasks.
Output 1.5: Guidance for best available technology and best environmental practices for industrial chemicals developed			
<p><i>Activity 1.5.1:</i> Gather international information on best available technology and best environmental practices for production and use of PFOS</p> <p><i>Activity 1.5.2:</i> Develop ver.1 of “Guidance for best available technology and best environmental practices for production and use of PFOS” in English</p> <p><i>Activity 1.5.3:</i> Based on the technical document developed under SC-4/19, develop ver. 1 of “Guidance for best available technology and best environmental practices for the recycling and waste disposal of articles containing BDEs” in English</p> <p><i>Activity 1.5.4:</i> Revise ver.1 of “Guidance for best available technology and best environmental practices for production and use of PFOS” and “Guidance for best available technology and best environmental practices for the recycling and waste disposal of articles containing BDEs” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> ➤ Information on BAT/BEP for production and use of PFOS compiled ➤ Ver. 1 of “Guidance on BAT/BEP for production and use of PFOS” developed ➤ Ver. 1 of “Guidance for BAT / BEP of recycling and waste disposal of articles containing BDEs” developed ➤ Translation of revised ver.1 of the two Guidance documents in six UN languages 	<ul style="list-style-type: none"> ➤ Report on BAT/BEP for production and use of PFOS ➤ Guidance document for BAT/BEP for production and use of PFOS ➤ Guidance document for BAT/BEP for recycling and waste disposal of articles containing BDEs ➤ Copy of revised ver.1 of “Guidance for BAT/BEP for production and use of PFOS” and “Guidance for BAT/BEP for the recycling and waste disposal of articles containing BDEs” translated and published in six UN languages 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Information on BAT and BEP and alternative substances related to the whole lifecycle of the new POPs in developed countries already partially available ➤ The guidance will be successfully prepared and translated in the assigned timeframe ➤ The expertise gained in other POPs related activities will ensure the proper identification of the stakeholders’ needs <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Industries unwilling to disclose technical information ➤ Stakeholders’ needs not properly addressed ➤ Underestimation of the complexity of some tasks.
Output 1.6: Database with readily accessible international information useful for developing and updating National Implementation Plans (NIPs) under the Stockholm Convention in place			
<p><i>Activity 1.6.1:</i> Compile a list of available technology for recycling and disposal including contact details of entities that can undertake such operations and indicative cost</p> <p><i>Activity 1.6.2:</i> Compile a list of options for control</p>	<ul style="list-style-type: none"> ➤ List of available technology and vendors for recycling and disposal ➤ List of options for control measures to eliminate / restrict production and use of new POPs ➤ List of replacement to new POPs 	<ul style="list-style-type: none"> ➤ Report on available technology for recycling and disposal including contact details of entities that can undertake such operations and indicative cost ➤ Report on options for control 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ The agencies can rely on their outstanding experience in the field of recycling / disposal of hazardous substances ➤ The network established by the agencies

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<p>measures to eliminate/restrict production and use of new POPs</p> <p><i>Activity 1.6.3:</i> Compile a list of replacement to new POPs including alternative chemicals and processes</p> <p><i>Activity 1.6.4:</i> Develop a ver.1 of the database and integrate the lists, create cross-links with websites of regional centers, industry sectors, civil societies, implementing agencies, etc.</p>	<p>including alternative chemicals and processes prepared in due time</p> <ul style="list-style-type: none"> ➤ Ver.1 of a database and websites with cross-links prepared 	<p>measures to eliminate/restrict production and use of new POPs</p> <ul style="list-style-type: none"> ➤ Report on replacement to new POPs including alternative chemicals and processes ➤ Copy of Ver.1 of a database and websites with cross-links 	<p>with industrial and scientific community will facilitate the collection of technical information</p> <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Industry / Scientific community unwilling to share technical information ➤ Stakeholders' needs not properly addressed ➤ Underestimation of the complexity of the inventory tasks
<p>Output 1.7: Updated and consolidated package of “Guidance for developing and updating a National Implementation Plan (NIP) under the Stockholm Convention” taking into account the new POPs added to the Convention prepared</p>			
<p><i>Activity 1.7.1:</i> Revise the guidance ver.1 (outputs of 2.1-2.5) based on the evaluation and feedback received through the activities under Project Component 3 to develop ver. 2 of the guidance in English.</p> <p><i>Activity 1.7.2:</i> Update the existing guides concerning the development review and updating of the National Implementation plan, including the guidance on Social and Economic Assessment and on the calculation of action plan costs, with the information and guidance concerning the 9 new POPs</p> <p><i>Activity 1.7.3:</i> Integrate the ver.2 of the guidance and other existing guidance for NIP development, to produce the updated and consolidated “Guidance for developing and updating a National Implementation Plans (NIP)” under the Stockholm in Arabic, Chinese, French, Spanish, and Russian</p> <p><i>Activity 1.7.4:</i> Translate updated and consolidated “Guidance for developing and updating a National Implementation Plans (NIP)” into other five UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p> <p><i>Activity 1.7.5:</i> Publication in hard copies and electronic format available online</p>	<ul style="list-style-type: none"> ➤ Ver.2 of the guidance in English: listed in A) under this table prepared ➤ Publications in hard copies and electronic format available online ➤ Translation of updated and consolidated “Guidance for developing and updating a National Implementation Plans (NIP)” under the Stockholm in Arabic, Chinese, French, Spanish, and Russian 	<ul style="list-style-type: none"> ➤ Copy of Ver.2 of the guidance in English: listed in A) under this table ➤ Copy of publications in hard copies and electronic format ➤ Copy of updated and consolidated “Guidance for developing and updating a National Implementation Plans (NIP)” under the Stockholm translated in Arabic, Chinese, French, Spanish, and Russian 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Extensive revision of the guidance would not be necessary due to the preparatory work done in the previous activities ➤ The guidance will be successfully prepared and translated in the assigned timeframe ➤ The expertise gained in other POPs related activities will ensure the proper identification of the stakeholders' needs ➤ The revision of the existing guidance will be performed with high quality and in due time as are the same agencies in charge of the drafting of the original version that will update them. <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Reduced time frame could lead to an inaccurate revision of the guidance ➤ Underestimation of the complexity of some tasks

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
Outcome 2: Strengthening of capacity and validation on the guidance for developing and updating a National Implementation Plan under the Stockholm Convention focusing on new POPs chemicals			
Output 2.1: Approach for capacity strengthening to implement the updated and consolidated guidance for developing a National Implementation Plan under the Stockholm Convention taking into account the new POPs added to the Convention established			
<p><i>Activity 2.1.1:</i> Gap analysis of existing capacity in establishing inventory/conducting regular monitoring through Stockholm Convention Regional Centres</p> <p><i>Activity 2.1.2:</i> Develop training and awareness materials/programmes in cooperation with Stockholm Convention Regional Centres to implement the updated guidance for developing a NIP</p> <p><i>Activity 2.1.3:</i> Conduct pilot training/awareness activities for developing countries, focusing on customs and other relevant stakeholder, through Stockholm Convention Regional Centres to receive feedback on the updated and consolidated guidance for developing a NIP and the approach for capacity strengthening for implementation and evaluate the applicability</p>	<ul style="list-style-type: none"> ➤ Gaps on existing capacity in establishing inventory/conducting regular monitoring through Stockholm Convention Regional Centres identified ➤ Training package including instructional book, training programme, presentation slides prepared ➤ Number of participants; number of relevant institutions represented in the training courses 	<ul style="list-style-type: none"> ➤ A document summarizing the gaps of existing capacity in establishing inventory/conducting regular monitoring through Stockholm Convention Regional Centers ➤ A training package including instructional book, training programme, presentation slides ➤ Training reports, minute and feedbacks 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Regional POP Centres committed to collaborate and capable to perform the assigned tasks ➤ The participation of Regional Centres will facilitate stakeholder involvement <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ The selected Regional Centres would lack of commitment or of human resources ➤ Key experts who attended the "train the trainers" workshop leave the organization or are no more available for the assignment ➤ Unexpected events / political instability in the selected countries may disrupt the project activities
Output 2.2: Feedback and lessons learned from pilot testing of the guidance ver.1 in three countries from different regions consolidated			
<p><i>Activity 2.2.1:</i> Develop terms of reference for pilot testing of the guidance ver.1 and select three countries to undertake the pilot testing (one country before COP5 and two countries after COP5)</p> <p><i>Activity 2.2.2:</i> Elaborate pilot inventory of products/articles containing new POPs and processes using new POPs in three pilot countries</p> <p><i>Activity 2.2.3:</i> Validation of the applicability of the guidance ver.1 and collection of feedback for revision to produce ver.2</p>	<ul style="list-style-type: none"> ➤ Selection criteria for pilot testing of the ver. 1 of the guidance document established ➤ Terms of reference for pilot testing of the guidance ver.1 prepared ➤ MOU with 3 countries selected for pilot testing initiated ➤ Consolidated list of pilot inventory of products / articles containing new POPs and processes using new POPs in three pilot countries prepared ➤ Validation of the updated and consolidated guidance for developing and updating a NIP and the approach for capacity 	<ul style="list-style-type: none"> ➤ Final Terms of reference for pilot testing of the guidance ver.1 ➤ Signed MOU with 3 countries selected for the pilot testing ➤ Report on pilot inventory of products/articles containing new POPs and processes using new POPs in three pilot countries ➤ Validation and feedback on the updated and consolidated guidance for developing and updating a NIP and the approach for capacity strengthening for implementation 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Regional Centres will facilitate and speed up the gathering of data needed for the inventory ➤ By means of participation of the Regional Centres and thanks to the network and experience already established by the Agencies in the 3 pilot countries, the pilot inventories will be successfully completed <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ The selected Regional Centres would lack of commitment or of human resources ➤ Key experts leave the organization or are no more available for the assignment ➤ Unexpected events / political instability in the

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
	<ul style="list-style-type: none"> ➤ strengthening for implementation ➤ Feedback on the above guidance received 		<ul style="list-style-type: none"> selected countries may disrupt the project activities ➤ Feedback provided not relevant or accurate
Outcome 3: Establishment of project management structure including monitoring and evaluation			
Output 3.1: Project management structure established			
<p><i>Activity 3.1.1:</i> Establish the Project Steering Committee</p> <p><i>Activity 3.1.2:</i> Recruit technical experts as appropriate</p> <p><i>Activity 3.1.3:</i> Establish expert working groups as appropriate</p>	<ul style="list-style-type: none"> ➤ PSC established including list of members ➤ TORs and contracts of technical experts and working groups prepared 	<ul style="list-style-type: none"> ➤ Copy of documentation related to the formal establishment of the PSC and working group ➤ Copy of TORs and contracts for technical expert 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Experienced managers will be nominated in the PSC ➤ Technical expert of proven experience in evaluation activity will be recruited <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ Key experts or managers not available for the task ➤ Key expert or managers leave the organizations before completing the activities
Output 3.2: An M&E mechanism according to GEF M&E procedures designed and implemented			
<p><i>Activity 3.2.1:</i> Measure impact indicators on an annual basis</p> <p><i>Activity 3.2.2:</i> Prepare Annual Project Reports and Project Implementation Reviews</p> <p><i>Activity 3.2.3:</i> Hold annual Project Steering Committee meetings</p> <p><i>Activity 3.2.4:</i> Carry out mid-term external evaluation</p> <p><i>Activity 3.2.5:</i> Carry out final external evaluation</p> <p><i>Activity 3.2.6:</i> Complete the Terminal Report</p> <p><i>Activity 3.2.7:</i> Carry out annual project financial audits</p> <p><i>Activity 3.2.8:</i> Establish a project management information system (MIS), including a project website to disseminate information to various stakeholders</p>	<ul style="list-style-type: none"> ➤ Updated impact indicators ➤ Annual reports and PIRs completed ➤ Annual PSC meetings held ➤ Audit reports result prepared in due time ➤ Mid-term evaluation completed ➤ Final evaluation held ➤ Project terminal report completed ➤ Financial audit completed ➤ Dedicated MIS established and information disseminated 	<ul style="list-style-type: none"> ➤ Monitoring reports ➤ Progress Reports ➤ Copy of Audit Reports ➤ Copies of Annual reports and PIRs ➤ PSC meeting proceedings ➤ Copy of mid-term evaluation report ➤ Copy of final external evaluation report ➤ Copy of project terminal report 	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> ➤ Based on the feedback of the M&E measurements, adaptive management measures to be taken all through the project implementation process. ➤ Project team should ensure that sufficient time and resources are available for better implementation of the M&E policy. <p><u>Risks</u></p> <ul style="list-style-type: none"> ➤ M&E mechanisms will not be fully followed, which jeopardises project implementation.

Annex 8 – UNIDO procurement process

UNIDO procurement process

Generic approach and assessment framework

1. Introduction

This document outlines an approach and encompasses a framework for the assessment of UNIDO procurement processes, to be included as part of country evaluations as well as in technical cooperation (TC) projects/ programmes evaluations.

The procurement process assessment will review in a systematic manner the various aspects and stages of the procurement process being a key aspect of the technical cooperation (TC) delivery. These reviews aim to diagnose and identify areas of strength as well as where there is a need for improvement and lessons.

The framework will also serve as the basis for the “thematic evaluation of the procurement process efficiency” to be conducted in 2015 as part of the ODG/EVA work programme for 2014-15.

2. Background

Procurement is defined as the overall process of acquiring goods, works, and services, and includes all related functions such as planning, forecasting, supply chain management, identification of needs, sourcing and solicitation of offers, preparation and award of contract, as well as contract administration until the final discharge of all obligations as defined in the relevant contract(s). The procurement process covers activities necessary for the purchase, rental, lease or sale of goods, services, and other requirements such as works and property.

Past project and country evaluations commissioned by ODG/EVA raised several issues related to procurement and often efficiency related issues. It also became obvious that there is a shared responsibility in the different stages of the procurement process which includes UNIDO staff, such as project managers, and staff of the procurement unit, government counterparts, suppliers, local partner agencies (i.e. UNDP), customs and transport agencies etc.

In July 2013, a new “UNIDO Procurement Manual” was introduced. This Procurement Manual provides principles, guidance and procedures for the Organization to attain specified standards in the procurement process. The Procurement Manual also establishes that “The principles of fairness, transparency, integrity, economy, efficiency and effectiveness must be applied for all procurement transactions, to be delivered with a high level of professionalism thus justifying UNIDO’s involvement in and adding value to the implementation process”.

To reduce the risk of error, waste or wrongful acts and the risk of not detecting such problems, no single individual or team controls shall control all key stages of a transaction. Duties and responsibilities shall be assigned systemically to a number of individuals to ensure that effective checks and balances are in place.

In UNIDO, authorities, responsibilities and duties are segregated where incompatible. Related duties shall be subject to regular review and monitoring. Discrepancies, deviations and exceptions are properly regulated in the Financial Regulations and

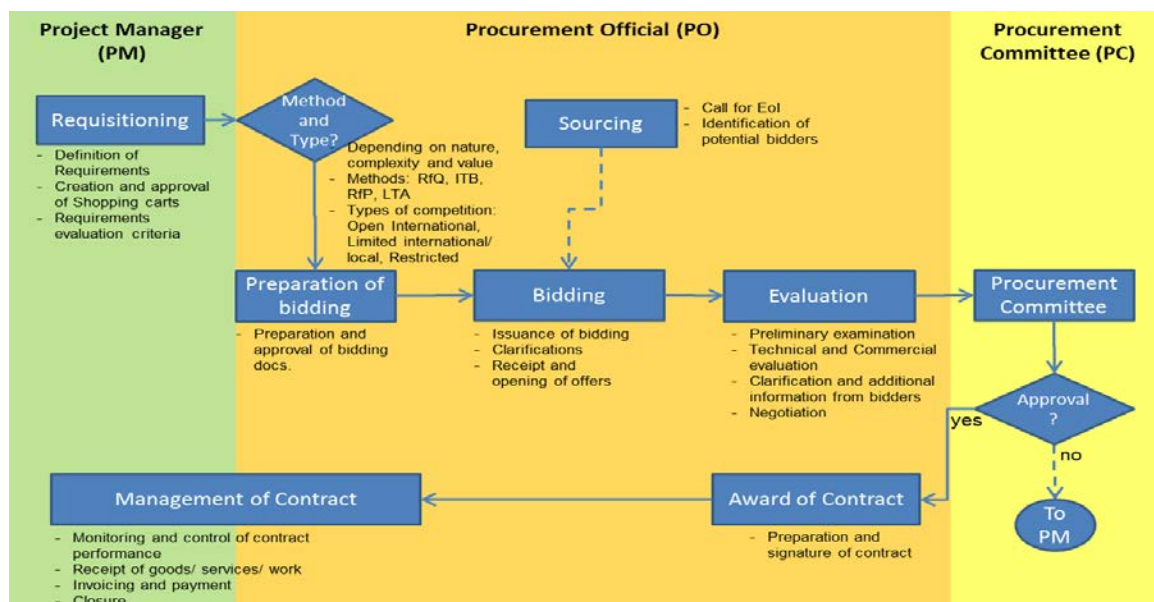
Rules and the Staff Regulations and Rules. Clear segregation of duties is maintained between programme/project management, procurement and supply chain management, risk management, financial management and accounting as well as auditing and internal oversight. Therefore, segregation of duties is an important basic principle of internal control and must be observed throughout the procurement process.

The different stages of the procurement process should be carried out, to the extent possible, by separate officials with the relevant competencies. As a minimum, two officials shall be involved in carrying out the procurement process. The functions are segregated among the officials belonging to the following functions:

- Procurement Services: For carrying out centralized procurement, including review of technical specifications, terms of reference, and scope of works, market research/surveys, sourcing/solicitation, commercial evaluation of offers, contract award, contract management;
- Substantive Office: For initiating procurement requests on the basis of well formulated technical specifications, terms of reference, scope of works, ensuring availability of funds, technical evaluation of offers; award recommendation; receipt of goods/services; supplier performance evaluation. In respect of decentralized procurement, the segregation of roles occur between the Project Manager/Allotment Holder and his/her respective Line Manager. For Fast Track procurement, the segregate on occurs between the Project Manager/Allotment Holder and Financial Services;
- Financial Services: For processing payments.

Figure 1 presents a preliminary “Procurement Process Map”, showing the main stages, stakeholders and their respective roles and responsibilities. During 2014/2015, in preparation for the thematic evaluation of the procurement process in 2015, this process map/ workflow will be further refined and reviewed.

Figure 1: UNIDO procurement process map



3. Purpose

The purpose of the procurement process assessments is to diagnose and identify areas for possible improvement and to increase UNIDO's learning about strengths and weaknesses in the procurement process. It will also include an assessment of the adequacy of the 'Procurement Manual' as a guiding document.

The review is intended to be useful to managers and staff at UNIDO headquarters and in the field offices (project managers, procurement officers), who are the direct involved in procurement and to UNIDO management.

4. Scope and focus

Procurement process assessments will focus on the efficiency aspects of the procurement process, and hence it will mainly fall under the efficiency evaluation criterion. However, other criteria such as effectiveness will also be considered as needed.

These assessments are expected to be mainstreamed in all UNIDO country and project evaluations to the extent of its applicability in terms of inclusion of relevant procurement related budgets and activities.

A generic evaluation matrix has been developed and is found in annex B. However questions should be customized for individual projects when needed.

5. Key issues and evaluation questions

Past evaluations and preliminary consultations have highlighted the following aspects or identified the following issues:

- Timeliness. Delays in the delivery of items to end-users.
- Bottlenecks. Points in the process where the process stops or considerably slows down.
- Procurement manual introduced, but still missing subsidiary templates and tools for its proper implementation and full use.
- Heavy workload of the procurement unit and limited resources and increasing "procurement demand"
- Lack of resources for initiating improvement and innovative approaches to procurement (such as Value for Money instead of lowest price only, Sustainable product lifecycle, environmental friendly procurement, etc.)
- The absence of efficiency parameters (procurement KPIs)

On this basis, the following evaluation questions have been developed and would be included as applicable in all project and country evaluations in 2014-2015:

- To what extent does the process provide adequate treatment to different types of procurement (e.g. by value, by category, by exception...)
- Was the procurement timely? How long the procurement process takes (e.g. by value, by category, by exception...)
- Did the good/item(s) arrive as planned or scheduled? If no, how long were the times gained or delays. If delay, what was the reason(s)?
- Were the procured good(s) acquired at a reasonable price?

- To what extent were the procured goods of the expected/needed quality and quantity?
- Were the transportation costs reasonable and within budget. If no, please elaborate.
- Was the freight forwarding timely and within budget?. If no, please elaborate.
- Who was responsible for the customs clearance? UNIDO FO? UNDP? Government? Other?
- Was the customs clearance handled professionally and in a timely manner? How many days did it take?
- How long time did it take to get approval from the government on import duty exemption?
- Which were the main bottlenecks / issues in the procurement process?
- Which good practices have been identified?
- To what extent roles and responsibilities of the different stakeholders in the different procurement stages are established, adequate and clear?
- To what extent there is an adequate segregation of duties across the procurement process and between the different roles and stakeholders?

6. Evaluation method and tools

These assessments will be based on a participatory approach, involving all relevant stakeholders (e.g. process owners, process users and clients).

The evaluation tools to be considered for use during the reviews are:

- **Desk Review:** Policy, Manuals and procedures related to the procurement process. Identification of new approaches being implemented in other UN or international organizations. Findings, recommendations and lessons from UNIDO Evaluation reports.
- **Interviews:** to analyze and discuss specific issues/topics with key process stakeholders
- **Survey to stakeholders:** To measure the satisfaction level and collect expectations, issues from process owners, user and clients
- **Process and stakeholders mapping:** To understand and identify the main phases the procurement process and sub-processes; and to identify the perspectives and expectations from the different stakeholders, as well as their respective roles and responsibilities
- **Historical data analysis from IT procurement systems:** To collect empirical data and identify and measure to the extent possible different performance dimensions of the process, such as timeliness, re-works, complaints, ..)

An evaluation matrix is presented in annex A, presenting the main questions and data sources to be used in the project and country evaluations, as well as the preliminary questions and data sources for the forthcoming thematic evaluation on Procurement in 2015.

ANNEX A: Evaluation matrix for the procurement process

Area	Evaluation question	Indicators ⁴²	Data source(s) for country / project evaluations	Additional data source(s) for thematic evaluation of procurement process in 2015
Timeliness	- Was the procurement timely? How long the procurement process takes (e.g. by value, by category, by exception...)	(Overall) Time to Procure (TTP)	<ul style="list-style-type: none"> Interviews with PMs, Government counterparts and beneficiaries 	<ul style="list-style-type: none"> Procurement related documents review SAP/Infobase (queries related to procurement volumes, categories, timing, issues) Evaluation reports Survey to PMs, procurement officers, beneficiaries, field local partners. Interviews with procurement officers
	- Did the good/item(s) arrive as planned or scheduled? If no, how long were the times gained or delays. If delay, what was the reason(s)?	Time to Delivery (TTD)	<ul style="list-style-type: none"> Interviews with PM, procurement officers and Beneficiaries 	
	- Was the freight forwarding timely and within budget? If no, please elaborate.			
	- Was the customs clearance timely? How many days did it take?		<ul style="list-style-type: none"> Interviews with PMs, Government counterparts and beneficiaries 	
	- How long time did it take to get approval from the government on import duty exemption	Time to Government Clearance (TTGC)	<ul style="list-style-type: none"> Interviews with beneficiaries 	
Roles and	- To what extent	Level of clarity	<ul style="list-style-type: none"> Procurement 	<ul style="list-style-type: none"> Procurement

⁴² These indicators are preliminary proposed here. They will be further defined and piloted during the Thematic Evaluation of UNIDO procurement process planned for 2015.

Area	Evaluation question	Indicators ⁴²	Data source(s) for country / project evaluations	Additional data source(s) for thematic evaluation of procurement process in 2015
responsibilities	roles and responsibilities of the different stakeholders in the different procurement stages are established, adequate and clear?	of roles and responsibilities	manual <ul style="list-style-type: none"> • Interview with PMs 	related documents review <ul style="list-style-type: none"> • Evaluation reports • Survey to PMs, procurement officers, beneficiaries, field local partners.
	- To what extent there is an adequate segregation of duties across the procurement process and between the different roles and stakeholders?		<ul style="list-style-type: none"> • Procurement manual • Interview with PMs 	<ul style="list-style-type: none"> • Interviews with procurement officers
	- How was responsibility for the customs clearance arranged? UNIDO FO? UNDP? Government? Other?		<ul style="list-style-type: none"> • Procurement Manual • Interview to PMs • Interviews with local partners 	
	- To what extent were suppliers delivering products/ services as required?	Level of satisfaction with Suppliers	<ul style="list-style-type: none"> • Interviews with PMs 	
Costs	- Were the transportation costs reasonable and within budget. If no, please elaborate.		<ul style="list-style-type: none"> • Interviews with PMs 	<ul style="list-style-type: none"> • Evaluation report • Survey to PMs, procurement officers, beneficiaries, field local partners.
	- Were the procured goods/services	Costs vs budget	<ul style="list-style-type: none"> • Interview with PMs 	<ul style="list-style-type: none"> • Interviews with procurement

Area	Evaluation question	Indicators ⁴²	Data source(s) for country / project evaluations	Additional data source(s) for thematic evaluation of procurement process in 2015
	within the expected/planned costs? If no, please elaborate			officers
Quality of products	- To what extent the process provides adequate treatment to different types of procurement (e.g. by value, by category, by exception...)		<ul style="list-style-type: none"> • Interview with PMs 	<ul style="list-style-type: none"> • Evaluation reports • Survey to PMs, procurement officers, beneficiaries, field local partners.
	- To what extent were the procured goods of the expected/needed quality and quantity?	Level of satisfaction with products/services	<ul style="list-style-type: none"> • Survey to PMs and beneficiaries • Observation in project site 	<ul style="list-style-type: none"> • Interviews with procurement officers
Process workflow /	- To what extent the procurement process is fit for purpose?	Level of satisfaction with the procurement process	<ul style="list-style-type: none"> • Interviews with PMs, Government counterparts and beneficiaries 	<ul style="list-style-type: none"> • Procurement related documents review
	- Which are the main bottlenecks / issues in the procurement process?		<ul style="list-style-type: none"> • Interviews with PMs, Government counterparts and beneficiaries 	<ul style="list-style-type: none"> • Evaluation report • Survey to PMs, procurement officers, beneficiaries, field local partners.
	- Which part(s) of the procurement process can be streamlined or simplified?		<ul style="list-style-type: none"> • Interview with PMs 	<ul style="list-style-type: none"> • Procurement related documents review

Area	Evaluation question	Indicators ⁴²	Data source(s) for country / project evaluations	Additional data source(s) for thematic evaluation of procurement process in 2015
				<ul style="list-style-type: none"> • Evaluation report • Survey to PMs, procurement officers, beneficiaries, field local partners. • Interviews with procurement officers