



TERMINAL REVIEW OF THE UNEP/GEF ENABLING ACTIVITY ID 9276

“REGIONAL PROJECT ON THE DEVELOPMENT OF NATIONAL ACTION PLANS FOR
THE ARTISANAL AND SMALL-SCALE GOLD MINING IN AFRICA”

Burundi, Republic of Congo, Central African Republic, Kenya
Swaziland, Uganda, Zambia, Zimbabwe

In place of an Operational Completion Report

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Table 1: Project Identification Table

UNEP Sub-programme:	5	UNEP Division/Branch:	Economy/Chemicals and Health
Expected Accomplishment(s):	5(a) PoW 2016-2017 - countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”.	Programme of Work Output(s):	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
SDG(s) and indicator(s)	12.4.1: number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement.		

Project Title:	Regional Project on the Development of National Action Plans for the Artisanal and Small Scale Gold Mining in Africa
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Executing Agency:	Africa Institute
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Project partners:	Global Mercury Partnership and Ministries of Environment of participating countries
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Geographical Scope:	Africa
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Participating Countries:	Burundi, Congo (Republic of), Central African Republic, Eswatini, Kenya, Uganda, Zambia, Zimbabwe
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GEF project ID:	9276	Coding blocks*¹:	GFL-2310-2761 SB-001062.03.02.26 S1-32GFL-000626 P1-33GFL-001035
Focal Area(s):	Chemicals and Wastes	GEF OP #:	2

¹ Fields with an * sign (in yellow) should be filled by the Fund Management Officer

GEF Strategic Priority/Objective:	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	GEF approval date*:	8 September 2016
UNEP approval date:	19 October 2016	Date of first disbursement*:	30 November 2016
Actual start date²:	10 November 2016	Planned duration:	24 months
Intended completion date*:	31 October 2018	Actual or Expected completion date:	30 June 2022
Project Type:	Enabling Activity	GEF Allocation*:	\$4,000,000
PPG GEF cost*:	n/a	PPG co-financing*:	n/a
Expected MSP/FSP Co-financing*:	\$50,000	Total Cost*:	\$4,050,000
Mid-term Review/eval. (planned date):	n/a	Terminal Review (actual date):	July 2022 -March 2023
Mid-term Review/eval. (actual date):	n/a	No. of revisions*:	3
Date of last Steering Committee meeting:	n/a	Date of last Revision*:	22/03/2021
Disbursement as of 06 May 2020*:	\$3,465,405	Date of financial closure*:	Not available
Date of Completion^{3*}:	31 December 2022 (note that PCA agreement expired on 30 June 2022, however, some committed funds were only spent in the second half of 2022)	Actual expenditures reported by the EA as of 31 December 2022⁴:	\$3,317,995
Total co-financing realized as of 30 June 2022:	50,000	Actual expenditures entered in UMOJA as of 31 December 2022*:	\$3,317,995
Leveraged financing:⁵	n/a		
Dates of previous project phases:	n/a	Status of future project phases:	n/a

² Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

³ If there was a “Completion Revision” please use the date of the revision.

⁴ Information to be provided by Executing Agency/Project Manager

⁵ See above note on co-financing

Executive Summary

This report is the Terminal Review of the enabling activity entitled “Regional Project on the Development of National Action Plan for the Artisanal and Small-Scale Gold Mining in Africa”. The project covered Burundi, Republic of Congo, Central African Republic, Eswatini, Kenya, Uganda, Zambia, and Zimbabwe. It was implemented by the United Nations Environment Programme and executed by the Africa Institute. The budget of the project was of \$4,000,000 and \$50,000 of co-financing (from Republic of Congo) was allocated. The project was approved in September 2016 and implementation began in November 2016 with the first disbursement of cash advance. The project was implemented with three extensions and ended on 30 June 2022. By 31st December 2022, and as per the last expenditure report, the total cumulative expenditure to date is \$3,317,995 and represents 98% of the total budget allocated for the executing agency. And a total cumulative unspent balance to date is \$147,409 out of \$3,465,450 which was advanced to the executing agency. The project also contributed \$400,000 (10%) out of its total budget to the NAP global components, managed by the Knowledge and Risk Unit of UNEP Economy Division and this was spent at 100% with no balance remaining. The amount towards global component was increased by \$169,305 (bringing total to \$569,305) prior to the end of PCA to ensure that additional regional activities could be organized to facilitate peer to peer learning and knowledge management from project results.

The project objective was to develop National Action Plans (NAPs) to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in participating countries. To reach this objective, the project defined four components:

1. Regional information exchange, capacity building and knowledge generation
2. Establishment of coordination mechanism and organization of process
3. Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices
4. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM

The National Action Plan was officially endorsed by the Government and transmitted to the Minamata Convention Secretariat per the schedule below:

Country	Year transmitted to Minamata Convention Secretariat on:
Burundi	2019
Republic of Congo	2019
Central African Republic	2019
Eswatini	2020
Kenya	2022
Uganda	2019
Zambia	2022
Zimbabwe	2019

This terminal review is based primarily on a desk review of project documents, outputs and reports, and complemented by responses on questionnaires with available stakeholders through

email exchanges. No face to face meetings were conducted as no travel was taken as part of the terminal review.

Review criteria	Rating
Strategic Relevance	Satisfactory
<i>Alignment to MTS and POW</i>	Satisfactory
<i>Alignment to UNEP/GEF/Donor strategic priorities</i>	Satisfactory
<i>Relevance to regional, sub-regional and national issues and needs</i>	Satisfactory
<i>Complementarity with existing interventions</i>	Satisfactory
Quality of Project Design	Satisfactory
Nature of External Context	Favourable
Effectiveness	Moderately Satisfactory
<i>Availability of outputs</i>	Moderately Satisfactory
<i>Achievement of direct outcomes</i>	Moderately Satisfactory
<i>Likelihood of impact</i>	Likely
Financial Management	Moderately Unsatisfactory
<i>Adherence to UNEP's policies and procedures</i>	Moderately Unsatisfactory
<i>Completeness of project financial information</i>	Moderately Satisfactory
<i>Communication between finance and project management staff</i>	Moderately Unsatisfactory
Efficiency	Moderately Unsatisfactory
Monitoring and Reporting	Satisfactory
<i>Monitoring design and budgeting</i>	Satisfactory
<i>Monitoring of project implementation</i>	Satisfactory
<i>Project reporting</i>	Satisfactory
Sustainability	Likely
<i>Socio-political sustainability</i>	Likely
<i>Financial sustainability</i>	Moderately Likely
<i>Institutional sustainability</i>	Likely
Factors Affecting Performance	Moderately Unsatisfactory
<i>Preparation and readiness</i>	Satisfactory
<i>Quality of project management and supervision</i>	Moderately Unsatisfactory
<i>Stakeholder participation and cooperation</i>	Satisfactory
<i>Responsiveness to human rights and gender equity</i>	Moderately Unsatisfactory
<i>Environmental, social and economic safeguards</i>	Satisfactory
<i>Country ownership and driven-ness</i>	Satisfactory

Project Overall rating: Moderately Satisfactory**Conclusions**

The project has successfully reached its objective of developing a total of 8 national action plan aiming to reduce mercury emissions and releases in the artisanal and small-scale gold mining sector in Africa.

The project was strategically relevant to UNEP's priorities and was complementary to previous and existing interventions in participating countries, in its efforts to implement and comply with the Minamata Convention. It builds on the Minamata Initial Assessments and the notification to the convention secretariat that the ASGM sector is more than insignificant, in accordance with Article 7.

The data gathering aspect of the project took longer than expected however overall successful and allowed relevant stakeholders to have an assessment of the sector, the conditions of work and the amount of mercury used, emitted and released from ASGM. The project design was realistic, but given the fact that it is a 8 country regional project, the time frame of 2 years was not sufficient to develop and officially endorse the National Action Plan. No financial mismanagement or issues were reported, however, 3 amendments were processed during implementation. Monitoring, reporting and review plans were executed as per the project design, and all responded stakeholders in the terminal review process complimented the process and felt implicated and their views heard and reflected in the outputs.

Nevertheless, there were challenges encountered in several countries during the baseline data collection process. There were issues accessing the mining sites and interacting with the miners to source information. Most of the time, miners view those wanting information with suspicion. There were also safety risks for those in the field from the project collecting data, for example, in Eswatini, soldiers were dispatched to protect miners. Two of the most delayed countries in the project, Kenya and Zambia, faced the following challenges:

Kenya - The government of Kenya has delayed in opening the project account due to their laborious national government processes and procedures. The Executive Director of the AI had to continuously engage the senior management of Kenya to get this issue resolved. In addition, it took a long period of time to recruit a national coordinator.

Zambia - The National Consultant of Zambia did not deliver the expected results under component 3 (overview study) and that resulted in the government of Zambia not approving the report and the contract for the National Consultant being terminated. A team of experts was assembled which worked on the report and subsequently the report was finalised and approved. This has also delayed the implementation of the report in Zambia.

Moreover, gender mainstreaming was considered, however, no gender specialist was recruited on the project as planned at the design stage. Therefore, no extensive elaboration on gender mainstreaming activities were conducted during NAP formulation and described in the final NAP.

This does not affect the quality of the NAP but should be further considered during NAP implementation. A gender guidance document developed by UNEP was shared with NAP focal points in August 2020. There is a chapter that focuses on mercury which the countries could use during NAP implementation.

The NAPs developed are high-quality assessments of the ASGM sector and strategies to reduce the use of mercury and formalize the sector in each participating country. Their future implementation are however largely dependent on continuous capacity building at the national level, public awareness, financial availability, and coordination with other ASGM projects in each country. As related to the GEF replenishing cycle, all follow-up ASGM project should be considered under the planetGOLD programme (started in GEF6, continued in GEF7 and will continue in GEF8). For countries under this project, Kenya, Uganda, Zambia and Republic of Congo are already part of the programme. Zimbabwe is currently in the pipeline.

Lessons learned

- There were minimal capacities at the country level to manage funds, therefore, for a regional project of this size, it was beneficial to have one main executing agency
- Data collection and field visits are vital to the NAP project: not only does it provide a realistic assessment of the amounts of mercury used in, and emitted and released by the ASGM sector, but it also allows the executing agency to encounter the local communities and consider their needs and concerns when developing the NAP. Therefore, the timing and preparation of the field visits should be carefully planned and considered including extreme weather conditions and availability of needed equipment
- Awareness raising was never part of the project outcomes. But during inception workshop, awareness raising was advanced as project was introduced in the countries. As an example, remaining funds in Uganda were used to visit Tanzania to share experiences
- It has been proven that when the executing agency does not speak the language of target countries (e.g. French), communication efficiency and effectiveness are negatively affected
- It has been proven that when the executing agency are in possession of a dollar account to manage GEF project funds, there will be unavoidable financial loss due to exchange rates. This loss, which the project will eventually absorb, translates into a loss for the target countries
- Large regional enabling activity projects require additional time for completion due to the amount of coordination needed
- Gender mainstreaming of NAP projects should be conducted more thoroughly, as defined in guidance developed by UNEP and the GEF. The importance of gender mainstreaming was only stressed and encouraged during inception
- Several countries (Kenya, Uganda, Republic of Congo, and Zambia) are currently part of the planetGOLD programme, this is an excellent continuation of the project to implement the NAP. The project results contributed to the inclusion of these countries in planetGOLD
- Release of tools and methodologies by the global component took time, therefore, many countries did not have the resources to develop various chapters of their NAP, however, the focal points are part of the mailing list and will receive updates on new publications and tools as they become available

Recommendations

- When developing future NAP projects, the Implementing Agency should define gender considerations in the LogFrame, with targets, indicators and means of verification. This will anchor the considerations in the project document, give the EA with a clear expectation of results and facilitate the execution and review of this aspect
- While there are advantages for regional projects on sharing valuable experiences, for enabling activities, no more than 3-4 countries should be included as each country progresses at a different pace and may impact the overall efficiency and effectiveness of the project
- During the selection of target countries, diversity of languages spoken should be considered as English vs. French speaking countries sometimes cannot effectively communicate with each other, both oral and in written forms
- Some countries complained about the transfer of funds from executing agency so administrative improvements are needed. Executing agency had problems sending money to countries because accounts were in South African Rand. Therefore, all executing agencies working on GEF projects should open a dollar account
- Executing agencies for large regional projects need to demonstrate their ability and skills in effective communication
- Executing agencies for ASGM related projects should have more expertise and experience in the sector
- Countries in all regions of the world need to learn how to work effectively together, as not all countries will receive additional funding from the GEF to continue their work on ASGM, especially NAP implementation

Introduction

The following report is the Terminal Review (TR from hereafter) of the enabling activity project entitled “Regional Project on the Development of National Action Plans for the Artisanal and Small Scale Gold Mining in Africa”. The project’s objective is to protect human health and environment by facilitating the development of a National Action Plan (NAP from hereafter) to reduce the use of mercury and mercury compounds in, and the emissions and releases of, artisanal and small-scale gold mining (ASGM from hereafter) in 8 different African countries (Burundi, Republic of Congo, Central African Republic, Eswatini, Kenya, Uganda, Zambia, Zimbabwe).

The project was executed by the Africa Institute (AI from hereafter). The countries ratified the Minamata Convention and notified Secretariat, in accordance with article 7 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within their territories according to the following schedule:

Country	Ratification	ASGM Notification to Minamata Secretariat
Burundi	March 2021	March 2016
Republic of Congo	August 2019	May 2015
Central African Republic	March 2021	June 2015
Eswatini	September 2016 (Accession)	July 2015
Kenya	-	June 2015
Uganda	March 2019	July 2014
Zambia	March 2016	July 2015
Zimbabwe	August 2021	June 2015

The project was developed based on the guidelines for the development of ASGM National Action Plans approved by the Minamata COP. The GEF Chief Executive Officer endorsed the project on 8 September 2016 as part of GEF’s efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”; program 2 “support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring”.

The overall budget was of \$4,000,000 and \$50,000 co-financing was allocated from Republic of Congo. The project proposal was prepared and submitted for the first time in 2015 then resubmitted in 2016, with duration of 24 months starting from the first disbursement in November 2016. By 31 December 2022, and as per the last expenditure report, the total cumulative expenditure to date (\$3,675,562) represents 92% of the total budget, leaving a total cumulative unspent balance to date of 6.5% of the budget (\$324,437) to cover remaining global activities. This includes the global component activities carried out by the Global Mercury Partnership.

The project also contributed to achieve UNEP's Programme of Work for 2016-2017⁶ through its expected accomplishment A under Sub-programme 5: Chemicals and Waste, and in line with the Medium-Term Strategy⁷ (MTS) by increasing each country's capacity to manage chemicals and waste, and by increasing collaboration between the secretariats of chemicals and waste-related multilateral environmental agreements.

This TE is addressed to the participating countries, the executing agency, the implementing agency and the financing agency, as well as any other country or agency in the region intending to learn from previous experience of the NAP projects or planning a similar enabling activity.

The Terminal Review

The TR was carried out from July to September 2022 by an independent consultant, Grace Halla, under the supervision of the Portfolio Manager of the GEF Team at the Chemicals and Health Branch of the Economy Division of UNEP.

The TR has two main objectives: first to provide evidence of results to meet accountability requirements; and second to identify lessons of operational relevance for future project formulation on the national and regional level, and for the overall implementation of the Minamata Convention. This will be done through promoting operational improvement, learning and knowledge sharing between national stakeholders. To be effective, the review had a focus on **how** and **why** the results of the project were achieved, beyond displaying what the results were. Therefore, the evaluator aimed to differentiate between what would have happened in the absence of the project and what happened as a result of the project nationally.

The TR aims to be a participatory process, and the evaluator has been in contact with various members of the project National Working Group throughout the review period. It was not possible to arrange travel to any countries due to the lack of time; therefore, communication with national stakeholders was done through email exchanges using questionnaires. Three sets of questionnaires were developed by the reviewer for: 1) main national focal point/national coordinator for the project in each country, 2) executing agency, and 3) UNEP project manager. The questionnaires were distributed by the national coordinator to the other national stakeholders and consultants. Out of a total of 8 countries, 6 of them responded to the questionnaire and their respective identities, including gender, were protected.

The completed questionnaires, the project outputs and the project documentation review were the main evidence used in verifying the outcomes of the project components. The performance of the project was evaluated in terms of relevance, effectiveness and efficiency, as well as its actual and potential outcomes and impacts and their sustainability. It also consisted of a likelihood of impact assessment, identifying intended and unintended effects. The factors and processes affecting project performance were assessed throughout the report, relating to preparation and readiness, quality of management and supervision, stakeholder participation, public awareness, country ownership and responsiveness to human rights and gender equity. Finally, the project financing and the monitoring and review systems were reviewed. All findings

⁶ [http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed biennial programme of work and budget for 2016-2017 as approved by UNEA Jun2014 .pdf.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed%20biennial%20programme%20of%20work%20and%20budget%20for%202016-2017%20as%20approved%20by%20UNEA%20Jun2014.pdf.pdf?sequence=3&isAllowed=y)

⁷ [https://wedocs.unep.org/bitstream/handle/20.500.11822/7670/-UNEP Medium Term Strategy 2014-2017-2015MTS 2014-2017.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7670/-UNEP%20Medium%20Term%20Strategy%202014-2017-2015MTS%202014-2017.pdf.pdf?sequence=3&isAllowed=y)

in this report are based on referenced evidence, and the sources were cross-checked to the extent possible, while the logic behind the evaluator's judgement is explained when necessary.

The Project

Context

The Minamata Convention on mercury aims to protect human health and the environment from man-made emissions and releases of mercury and its compounds; through a set of measures to control the supply and trade, including limitations on certain specific sources of mercury such as primary mining, and to control mercury-added products and manufacturing processes in which mercury or mercury compounds are used, as well as artisanal and small scale gold mining. In addition, the Convention also contains measures on the environmentally sound interim storage of mercury and on mercury wastes, as well as contaminated sites⁸.

According to the MC Secretariat, “pursuant to Article 7.3 of the Minamata Convention, a Party that at any time determines that artisanal and small-scale gold mining and processing in its territory is more than insignificant shall notify the Secretariat. Such Party shall also develop and implement a national action plan in accordance with Annex C of the Convention; submit its national action plan to the Secretariat no later than three years after entry into force of the Convention for it or three years after the notification to the Secretariat, whichever is later; and thereafter, provide a review every three years of the progress made in meeting its obligations under Article 7 and include such reviews in its reports submitted pursuant to Article 21.

At its first meeting, the Conference of the Parties agreed to the use of the guidance⁹ on the preparation of national action plans.¹⁰”

Main Observations/Challenges in countries

Three Francophone countries and five English speaking countries were part of the project, therefore, there was a natural divide among South African countries vs. Western African countries based on common characteristics.

Promotion of global component and to conduct activities was relatively easy in terms of coordination through one executing agency

The executing agency had extensive experience with regional workshops as both inception and final regional workshops involved more countries outside of the target 8 countries. The first day always focused on the main 8 countries whereas the rest of the 2 days focused on additional African countries.

Since this project was one of the earlier NAP projects approved, the global component was added post facto, therefore, in the original approved project document, output 1 did not include global review activities.

Uganda and Zimbabwe were leading examples in the project where Burundi, CAR, Congo, Eswatini had strong country ownership. Kenya and Zambia took longer time to complete their NAPs, however, they were able to turn the project around at the end.

⁸ <http://www.mercuryconvention.org/Convention/Text/tabid/3426/language/en-US/Default.aspx>

⁹ <http://www.mercuryconvention.org/Convention/Formsandguidance/tabid/5527/language/en-US/Default.aspx>

¹⁰ <http://www.mercuryconvention.org/Countries/Parties/NationalActionPlans/tabid/7966/language/en-US/Default.aspx>

The project did not face challenges on an institutional level in each country (other than Kenya which has a lengthy internal approval process), on the contrary, it saw strong collaborations among various Ministries as part of the National Working Group. It was reported that the interview with miners in the field encountered difficulties because they were afraid of penalties by revealing how much mercury they were using, but at the end the project was able to overcome this obstacle through more awareness raising on the reasons why this data needs be collected. This challenge did not affect the development and endorsement of the NAP, therefore cannot be considered a challenge that affected the project results.

Objectives and Components

The project's objective was to protect human health and the environment through facilitating the development of a National Action Plan to reduce the use of mercury and mercury compounds in, and the emissions and releases from, artisanal and small-scale gold mining sector.

The project's components were:

1. Regional information exchange , capacity building and knowledge generation
2. Establishment of coordination mechanism and organization of process
3. Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices
4. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM

Milestones and Key Dates in Project Cycle

- Actual start: 10 November 2016.
- Mid-Term Evaluation (MTE from hereafter) date: MTE is not required for enabling activities. Therefore, the monitoring and review consist only of semi-annual progress reports from the executing agency, quarterly expenditure reports, the independent financial audit to be completed before the financial closure of the project and the independent terminal review.
- Project extensions: project was extended 3 times through 3 different amendments until 30 June 2022 (financial end date).
- The Project Cooperation Agreement (PCA from hereafter) was signed by both parties on the 10 November 2016 and it was extended three times from original intended end date in October 2018 to March 2019, January 2020 and December 2021 (these are operational end dates).
- Planned project completion date: October 2018; actual completion: June 2022.

Implementation Arrangements

The implementing agency for the project is UN Environment and the financing body is the GEF in accordance with Article 13 on the financial mechanism of the Minamata Convention; included in the [GEF V Focal Area Strategies](#) document under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, specifically under outcome 3.1 to build country capacity to effectively manage mercury in priority sectors.

The AI was the executing agency for the project and established a National Stakeholder Working Group in each country composed of members from relevant ministries, government agencies,

local and civil society. These arrangements are described in further detail under the Stakeholder Analysis.

Half yearly progress and quarterly expenditure reports were submitted by the AI to the UNEP/GEF team Task Manger. The required independent financial audit was carried out by an independent audit entity, under the responsibility of the executing agency and completed annually, the final audit is currently progress.

Project Financing

Table 2. Expenditure by budget components (as of 31 Dec 2022)

Component/sub-component/output <i>All figures as USD</i>	Estimated cost at design	Actual Cost/ expenditure	Expenditure ratio (actual/planned)
1. Project Personnel	\$254,800	\$254,801	100%
2. Contract Component	\$3,328,000	\$3,065,152	92%
3. Training Component	\$253,100	\$253,100	100%
4. Equipment and premises Component	\$29,600	\$27,291	92%
5. Miscellaneous Component	\$134,500	\$118,797	88%
Total	\$4,000,000	\$3,675,562	92%

Table 3: Co-financing Table

Co financing (Type/Source)	UNEP own Financing		Government (Republic of Congo)		Other*		Total		Total Disbursed
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants	0		20,000	20,000			20,000	20,000	20,000
- Loans									0
- Credits									0
- Equity investments									0
- In-kind support			30,000	30,000			30,000	30,000	30,000
- Other (*)									0
Totals	0	0	50,000	50,000	0	0	50,000	50,000	50,000

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

Table 4: GEF Financing Resources Requested by Agency, Country and Programming of Funds

GEF Agency	Trust Fund	Country/Region/Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
UNEP	GEFTF	Burundi	Chemicals and Wastes	Mercury	500,000	47,500	547,500
		Republic of Congo			500,000	47,500	547,500
		Central African Republic			500,000	47,500	547,500
		Kenya			500,000	47,500	547,500
		Eswatini			500,000	47,500	547,500
		Uganda			500,000	47,500	547,500
		Zambia			500,000	47,500	547,500
		Zimbabwe			500,000	47,500	547,500
Total GEF Resources					4,000,000	380,000	4,380,000

The project received co-financing from Republic of Congo amounting to USD50,000.

The total expenditures as reported at operational completion is: \$3,675,562 (92% of total budget).

At operational completion, UNEP has advanced a total amount of \$3,465,405 to the executing agency, disbursed \$40,000 on terminal review, and has a direct expenditure of \$569,305 for the sub-contract with the Global Mercury Partnership.

The total unspent balance as reported at operational completion: \$324,437 (8% of total budget). This amount is withheld by UNEP to the remaining global activities to be organized by the Global Mercury Partnership.

Project Partners

The key project partners were:

- AI as the executing agency
- National Coordinating Mechanism
- UNEP as the implementing agency
- The GEF as a financing agency
- Global Mercury Partnership as a project partner

Changes in Design during implementation

No changes to the project design were made during the period of implementation.

Theory of Change

The evaluator carried out the reconstruction of Theory of Change (ToC) using the GEF Evaluation Office Review of Outcomes to Impacts methodology. There are three stages to this method:

- 1) the first stage is identifying the intended impacts of the project, consisting of the project objective and the global environmental benefits (GEB);
- 2) the second stage is reviewing the project outcomes, milestones and assumptions;
- 3) and the last stage is analyzing the outcomes to impacts pathways.

The ToC in Figure 1, has been constructed based on the general NAP design, which includes a situation analysis, a causes-to-ends diagram and single generic causal pathway.

In the diagram, the emphasis was placed on impact pathways; linking the project activities to the outputs they generated. There were no assumptions indicated on the ToC at the design stage linking to any outputs. However, one assumption was presented at the objective tree diagram.

Because of the scoping nature of this project, there is one major pathway of outcomes to impact identified, and with one intermediate state, and goes as follows:

Impact pathway 1 – enhanced communication, strengthened national coordination mechanism, data collection and development of National Action Plan: from outcomes 1, 2, 3 and 4 to project objective.

The fulfilment of the project objective requires the success of all four main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic.

For participating countries to comply with Article 7 of the Minamata Convention on reducing mercury use in and emissions and releases from the ASGM sector, all must enhance communication and training to facilitate the development of the NAP and build the basis for future cooperation for the NAP implementation (Outcome 1). When national capacity is strengthened and the NAP formulation process is completed, then the intermediate state is reached (Outcome 2 and 3). This in turn will render participating countries able to use the strengthened national coordination mechanism to guide the NAP endorsement and officially submit a NAP compliant with Annex C of the Convention (Outcome 4).

Consequentially, at this stage, the project has reached the intermediate state at which all relevant stakeholders are informed of the extent of mercury presence, use, emissions and releases from the ASGM sector, and have a NAP to guide decision making in its implementation. All the above consequentially leads to the implementation of the Minamata Convention, which directly supported the project's GEBs.



Figure 1. Theory of Change at design

Review Findings

This chapter will answer the questions raised in the review terms of reference and in the “review criteria matrix” of the terminal review. It will present factual findings and analyze and interpret them to the best of the evaluator’s ability. A rating will be provided for each criterion.

1. Strategic Relevance

UNEP’s mandate and policies

The project contributed to sub-programme 5: Chemicals and Waste, as it is a step towards “*Work under the sub-programme will aim to achieve the entry into force and implementation of the Minamata Convention on Mercury*”, identified in the UN Environment’s Proposed Biennial Programme of Work 2016-2017¹¹. The project also contributed to the UN Environment Medium Term Strategy 2014-2017¹², under the harmful substances area and the Chemicals and Waste sub-programme. It is in line with the strategy, as it increases the participating countries’ capacity to manage chemicals and waste and increases collaboration with the secretariats of chemicals and waste-related multilateral environmental agreements. The institutional and regulatory framework strengthening also falls under the same strategy, making the project perfectly relevant and in line with UNEP’s mandate at the time of project design.

The GEF’s strategic objectives

Mercury is a priority chemical under the chemicals and waste focal area strategy under both GEF V and GEF VI : under GEF V, it is addressed as a part of the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury reduction, which has as an outcome 3.1 to build country capacity to effectively manage mercury in priority sectors; while under GEF VI, it is addressed as a part of the Chemicals and Waste Focal Area Strategy, CW1, program 2: Support enabling activities and promote their integration into national budgets, planning processes, national and sector policies and actions and global monitoring. It details the funding mechanism, also identified by the MC under Article 13. The outcomes of the project are crosscutting and contribute to fulfilling other CW objectives under GEF VI¹³.

National and regional priorities

As discussed in the project context section, the ASGM sector is significant in participating countries: the number of miners, the informal nature of the sector, the affected areas, and the use of mercury are a concern. In accordance with the Minamata Convention, and in line with the continued efforts the participating countries have been making to soundly manage chemicals and waste, this project is aligned with the national priorities.

¹¹ [http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-/Proposed biennial programme of work and budget for 2016-2017 Report of the Executive Director-2014PoW 2016-2017 as approved by UNEA Jun2014 .pdf.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-/Proposed%20biennial%20programme%20of%20work%20and%20budget%20for%202016-2017%20Report%20of%20the%20Executive%20Director-2014PoW%202016-2017%20as%20approved%20by%20UNEA%20Jun2014.pdf.pdf?sequence=3&isAllowed=y)

¹² [http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-/Proposed biennial programme of work and budget for 2016-2017 Report of the Executive Director-2014PoW 2016-2017 as approved by UNEA Jun2014 .pdf.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-/Proposed%20biennial%20programme%20of%20work%20and%20budget%20for%202016-2017%20Report%20of%20the%20Executive%20Director-2014PoW%202016-2017%20as%20approved%20by%20UNEA%20Jun2014.pdf.pdf?sequence=3&isAllowed=y)

¹³ [https://www.thegef.org/sites/default/files/documents/GEF-6 Programming Directions.pdf](https://www.thegef.org/sites/default/files/documents/GEF-6%20Programming%20Directions.pdf)

Devising the National Action Plan has two important dimensions: the data collection, which clarifies the problem formulation and allows the national and local authorities to understand the sector from the economic, social and environmental perspective; and the action plan which will attempt to bring solutions to the identified problems through the work of various stakeholders on the local, regional, national and international levels.

Rating for strategic relevance: Satisfactory.

2. Quality of project design

The project design is rated satisfactory, as per the UNEP Quality of Project Design Assessment (Annex 1). This section will discuss each criterion in the assessment and will summarize the strengths and weaknesses of the design.

The project is an enabling activity, aiming to gather all available information the use and the emissions and releases of mercury in the ASGM sector in participating countries, in order to facilitate the development of a National Action Plan to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from ASGM and processing by the use of scientific and technical knowledge and tools by national stakeholders in participating countries. Therefore, elements of external context are not expected to challenge the project performance. The project document does not include any mention of the likelihood or ongoing conflict, natural disaster, or a change in government. It is therefore assumed that the external context is favourable for the sound implementation of the project.

The preparation of the project was overall rated satisfactory. There is an adequate problem analysis presented in narrative form under Part II section A “Background and context”. The situation and stakeholder analysis were a part of the project document. In the initial process of drafting the project document, no affected groups were left out.

In regard to concerns relating to sustainable development in terms of integrated approaches to human or natural systems, the project will assess the situation with regard to mercury in the ASGM sector and its emissions and releases in participating countries. It will not take direct action on the ground but assessment and the national overview of the ASGM sector will assist participating countries to identify priority issues in relation human health and the environment and where socioeconomic and environmental considerations will be identified. The purpose of the NAP is to identify alternatives to mercury use and not to impair livelihoods and economic opportunities.

The project is designed in line with the GEF and UN Environment’s priorities and Programme of Work, therefore fitting in the context of working towards the sound management of chemicals and waste and supporting the countries meet their obligations under the different MEAs. The GEF, as a financial mechanism of the MC agreed to allocate in its sixth replenishment \$30 million to support enabling activities and promote their integration into national budgets and priorities. On a national level, participating countries have ratified the Minamata Convention and submitted their MIA in a timely manner, which has identified ASGM as a sector that contributes significantly to mercury emissions. The supervision arrangements are well planned and explicitly stated in the project document, which is essential for sound implementation and in the same line, the financial planning does not display any deficiencies at this stage.

The shortcomings of the project design are the way it addresses the gender aspects of the NAP: the project design ensures the participation of women's organizations in project design, implementation and monitoring by including women in the national working group and consultations with at-risk and vulnerable communities, as well as collecting disaggregated data and including gender considerations in the NAP. The issue however is the lack of means of verification as it is not apparent in the activities what gender mainstreaming activities took place. The design of the project should also be clearly stating that it will be looking into the health, social and economic considerations for men and women working in the ASGM sector, in an explicit comparative way.

According to the gender rating scale in "Evaluation on Gender Mainstreaming in the GEF", by the Independent Evaluation Office of the GEF, this project can be qualified as gender partially mainstreamed: "Gender is reflected in the context, implementation, LogFrame, or the budget". Guidance was developed and provided by the Global Component but it was already in 2020, when most of the countries were near completion with their NAP development.

Rating for quality of project design: Satisfactory.

3. Effectiveness

Achievement of outputs

The outputs of this project were the following:

1. Capacity building provided, information exchange undertaken, lessons learned and good practices identified at regional level
2. Technical support provided for the establishment of National Coordination Mechanisms and organization of process for the development of the NAP
3. Participating countries have a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices
4. Participating countries have a NAP compliance with Annex C of the Minamata Convention developed, endorsed and officially submitted to the Secretariat

A desk review of the project documentation, reporting and feedback received during stakeholder consultations has confirmed the good quality of work and the good reception of the project outputs.

Output 1

This output has been achieved successfully. The following 4 activities have been completed:

- (a) Development of a roster of experts and collection of tools and methodologies for NAP development (through the assistance of the global mercury partnership);

- (b) Capacity building trainings including ASGM and mercury inventory baselining and monitoring
- (c) Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools (through assistance of the global mercury partnership);
- (d) Identification of lessons learned and good practices (e.g. COP3 side event in 2019 in Geneva)

Output 2

This output has been achieved successfully.

Organized one regional training and inception workshop and eight national inception workshops in each participating country to raise awareness and to define the scope and objective of the NAP development, including a) identify key stakeholders and assign roles, b) identify coordination mechanism for project implementation, and c) develop an awareness raising strategy to be implemented throughout the project.

The regional inception workshop was held in Pretoria, South Africa on 3-4 October 2016. A series of national inception workshops were held in Eswatini (15 November 2016), Uganda (21-22 November 2016), Zimbabwe (23-24 November 2016), Zambia (25 November 2016), Burundi (11-13 January 2017), Central African Republic (15-16 February 2017), Kenya (8-11 January 2017), and Congo (13-14 February 2017).

The regional inception workshop involved more than 20 countries, including the 8 targeted countries in the project.

Output 3

This output has been achieved successfully.

Desk studies to compile information available. The desk studies were complemented by interviews with stakeholders. The working group and the stakeholder advisory group can consider additional methods in order to better reflect the current state of knowledge.

Output 4

This output has been achieved successfully. The following 3 activities were achieved.

- (a) Eight national workshops to complete the final NAP and to expose the formulated NAP on ASGM to public consultation before endorsement. Representatives of vulnerable groups and miners were particularly targeted.
- (b) NAP endorsement and official submission to the Minamata Secretariat
- (c) Final regional workshop to identify lessons learned and opportunities for future cooperation in NAP implementation (21-23 May 2019, in Manzini, Eswatini)

The final regional workshop involved more than 20 countries, including the 8 targeted countries in the project.

Stakeholder involvement

The evaluator could not travel to any participating countries due to time restrictions. It was difficult to reach most stakeholders, many of which do not have regular or reliable access to the internet or did not respond to the request for interviews. Instead, a short questionnaire was sent to all NAP national coordination group members (through the national project coordinator) who participated in the delivery and the review of outputs and deliverables. 6 out of 8 countries responded to the questionnaire after several attempts.

The various meetings coordinated by the AI throughout the project were efficient and supported the participation of stakeholders and the feedback loop processes in all countries: giving members of national coordination group the opportunity to provide comments and considerations to the reports of local experts on various chapters of the NAP has provided many opportunities for exchange.

The project has made use of the previously existing networks and has attempted to the extent possible to implicate stakeholders from all relevant sectors, including but not limited to national and regional authorities, communal authorities, civil society, private sector such as mining, energy and engineering associations, national and local experts and gender-oriented NGOs. Stakeholders report feeling engaged and satisfied. Note that in several countries, the project closely coordinated with the development of the Minamata Initial Assessment by using the same National Working Group for more efficient national coordination under the same Convention.

Likelihood of impact

The likelihood of impact assessment is a tool used to identify how likely the project contribution to impact may be. This is a theoretical approach to assessing the impact of the project, due to the actual measurement being difficult to obtain for this project. It is an assessment tool of the internal logical of the project.

The evaluator used the assessment of likelihood of impact decision tree, which revealed that the impact pathway is moderately likely. The detail of the decision tree can be seen in Figure 2 below. The reason for this rating is that the assumptions to move beyond the first intermediate state (Participating countries are enabled to reduce mercury use in and emissions from the ASGM sector) are partially in place / or effectively promoted. These assumptions include availability of funding, continued cooperation of all qualified stakeholders, national governmental support for the NAP, the political backing for the implementation of the Minamata Convention and the willingness and cooperation of national stakeholders to comply with the NAP. Currently, 4 out of 8 projects (Kenya, Republic of Congo, Uganda and Zambia) are part of the planetGOLD programme, which build on the findings, capacity and commitment generated from the NAP project. Therefore, the likelihood of impact is strengthened.

Figure 2. Decision Tree Diagram of the Rating of Likelihood of Impact Among a Causal Pathway

A GUIDE FOR THE RATING LIKELIHOOD OF IMPACT

	Select Response		Likelihood of impact						Likelihood of impact					
			HU	U	MU	ML	L	HL	HU	U	MU	ML	L	HL
Drivers to support transition from Outputs to Project Outcomes are ...	In place		Not in place	Partially in place	Partially in place	In place	In place	In place	HU	U	MU	ML	L	HL
Assumptions for the change process from Outputs to Project Outcomes ...	Hold		Do not hold	Partially hold	Partially hold	Hold	Hold	Hold	HU	U	MU	ML	L	HL
Proportion of Project Outcomes fully or partially achieved?	All		None	Some	Some	Some	Some	All	HU	U	MU	ML	L	HL
Which Project Outcomes? (the most important to attain intermediate states / impact or others)	The most important to attain intermediate states/impact	Answer not required	n/a	Others	Others	Most important	Most important	n/a	HU	U	MU	ML	L	HL
Level of Project Outcome achievement?	Full		n/a	Partial	Full	Partial	Full	Full	HU	U	MU	ML	L	HL
Drivers to support transition from Project Outcome(s) to Intermediate States are ...	In place		n/a	Not in place	Not in place	Partially in place	Partially in place	In place	HU	U	MU	ML	L	HL
Assumptions for the change process from Project Outcomes to Intermediate States ...	Hold		n/a	Do not hold	Do not hold	Partially hold	Hold	Hold	HU	U	MU	ML	L	HL
Proportion of Intermediate States achieved?	All		n/a	n/a	None	None	Some	All	HU	U	MU	ML	L	HL
Level of Intermediate State achievement?	Full		n/a	n/a	n/a	n/a	Partial	Full	HU	U	MU	ML	L	HL
Drivers to support transition from Intermediate States to Impact are ...	In place		n/a	Not in place	Not in place	Not in place	Partially	In place	HU	U	MU	ML	L	HL
Assumptions for the change process from Intermediate States to Impact ...	Hold		n/a	Do not hold	Do not hold	Do not hold	Partially	Hold	HU	U	MU	ML	L	HL
									0	0	1	3	5	11
OVERALL RATING														
HIGHLY LIKELY														

The intentional positive impacts of this project are: producing a baseline overview of the ASGM sector in participating countries and data on the use, emissions and releases of mercury in the sector; awareness raising among stakeholders, multiple levels of local authorities and the general

population about the dangers of mercury on human health and the environment; elaboration and dissemination of the action plan towards the formalization of the ASGM sector, a reduced and eventually eliminated use of mercury and safe and reliable alternatives to mercury amalgamation. These positive impacts are a direct result of the project outputs and outcomes.

The project has provided the tools for change but has not played a catalytic role. It is expected that in their efforts to implement and comply with the Minamata Convention, the national stakeholders and government institutions will implement the NAP (4 out of 8 have already started implementation by being part of the planetGOLD programme, Zimbabwe is also in the pipeline for GEF8 submission). The project has therefore achieved its objective.

The project has been designed as a cookie cutter, and various NAP projects similar in structure are currently being implemented in countries with more than insignificant ASGM sectors.

Overall, with the necessary commitment from the government of participating countries and the cooperation of operators of ASGM sites, the NAP can be implemented and the danger to human health and the environment from mercury use and emissions can be curtailed.

Attainment of objectives and planned results

The project's findings and deliverables, namely the compiled and officially endorsed NAP, the executive summary, the field mission reports and the awareness raising materials were made available to stakeholders and guidance materials developed by the Global Mercury Partnership were all made available online through their website. This has been confirmed via stakeholder feedback to the terminal review, and access to materials, guidance and deliverables has not been an issue.

There are several key aspects of the project related to effectiveness that should be mentioned:

- The project made full use of existing resources nationally for coordination with meetings and sharing of data. Some with the development of their Minamata Initial Assessments for easy data sharing.
- National stakeholders were very engaged in the project and made significant contributions toward the NAP, therefore, no challenges were encountered

Rating for effectiveness: Moderately Satisfactory.

4. Efficiency

The project was able to achieve its goal, however only after 6 years, instead of the original 2 years planned for the project. The executing agency has performed in its capacity but the overall efficiency of the project could be improved with stronger efforts on communication and pressure to push the project forward. Of course situation with COVID19 did not help in the coordination efforts of such a large regional project.

All 8 NAPs are endorsed and submitted to the Minamata Secretariat.

Three amendments occurred during the implementation phase. Feedback received during stakeholder consultations indicate acceptable level of management and communication by the executing agency. The EA was available but not always responsive on the timely manner. In addition, the EA is not an expert in the ASGM sector so it was slightly weak in addressing technical inquiries from countries.

Reports from the EA to the IA were not always sent in a timely manner and communication was also not constant between the two agencies in times of need. IA often has to wait a long time for a response from the EA which slows down all subsequent activities.

The project's National Working Group worked well in all participating countries, maximized resources and ensuring that the relevant stakeholders are well informed.

The project was cost and not time effective, as almost all funds were spent according to the original budget.

The Task Manager and the Global Mercury Partnership attended the regional inception and validation workshops. However, they did not participate in the national workshops as efforts were made to reduce costs and air travel.

Rating for efficiency: Moderately Unsatisfactory.

5. Financial management

All quarterly expenditure reports were completed and were made available for the terminal review. The reports provide sufficient detail of what the expenditures were and reflect how the executing agency managed the funds. By 31st December 2022, and as per the last expenditure report, the total cumulative expenditure to date is \$3,675,562 and represents 92% of the total budget allocated for the executing agency. And a total cumulative unspent balance to date is \$324,437 out of \$3,465,405, which was advanced to the executing agency. As per previous agreement with the GEF, remaining balance from enabling activities of NAPs will be transferred to the Global Mercury Partnership to further enhance global activities.

The project also contributed \$569,305 out of its total budget to the NAP global components, managed by the Knowledge and Risk Unit of UNEP Economy Division and this was spent at 100% with no balance remaining.

There were no financial irregularities to be reported based on the desk review of financial management documentation and independent audit is currently underway. However, due to the lack of dollar account in the beginning of the project, some project funds were lost due to difference in exchange rates. Since these losses have to be absorbed by the project, they are considered as losses for the participating countries.

Rating for financial management: Moderately Unsatisfactory.

6. Monitoring and Reporting

The monitoring and reporting mechanism of the project is based on quarterly reports of expenditures, half yearly reports of progress, and constant communication in between the EA and the IA where need be. The main channel of communication is email. Nationally, the EA and the national coordinating groups remained in contact via email and phone. All responded stakeholders report acceptable communication, helpful feedback, and overall willingness of all involved parties to solve any problems that arose and to learn from them.

The EA has provided the inception workshop report immediately following the workshop and has submitted reports of the national working group meetings in accordance with the monitoring and review time frame available in the Project Document, although not always on a timely manner. However, the terminal report is still under preparation by the EA.

The EA was not always on time with report submission and did not react quickly on all inquiries made by national stakeholders and the IA. Based on the questionnaire responses received and interviews conducted with UNEP task manager and the global mercury partnership, national leadership provided by participating countries and the project coordinator were excellent and can very well serve as a model for other countries. UNEP is responsible for conducting the terminal review through an independent external consultant.

All the funds allocated for monitoring and evaluation were used to support these activities, based on the financial reports and stakeholder feedback. All financial and progress reports are complete, accurate and readily made available for the terminal review.

No concerns of mismanagement or issues in communication were reported.

Rating for monitoring and reporting: Satisfactory.

7. Sustainability

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. Considering that most the assumptions made at the design stage of the project hold, and that the nature of the external context assessment is favourable, there are no social factors that have influenced the project's progress towards its intended impacts. The project received positive traction and generated interest from local authorities and miner communities living in and near ASGM sites of participating countries in most instances.

The level of ownership displayed by participating countries is satisfactory and the project teams are qualified and sufficiently knowledgeable in the management of projects and on the ASGM issue. However, in order to implement the NAP, additional resources are required and this is where planetGOLD programme comes into play as countries such as Kenya (GEF6), Republic of Congo (GEF7), Uganda (GEF7), Zambia (GEF7) and Zimbabwe (GEF8, pipeline) are already involved. ASGM management involves multiple Ministries, also at national, regional and local levels; therefore, full cooperation from all stakeholders is crucial to the successful implementation of the NAP.

Working further with regional and communal authorities in the regions where ASGM is the main source of revenue is essential for the sustainability of the outcomes and the successful implementation of the NAP. Continued capacity building, awareness raising, and field visits are

encouraged to keep the momentum created by the initial field visits during the project implementation, and to accelerate the formalization of the ASGM sector.

Pragmatically, this project has achieved its main outcome, and produced NAPs that were officially endorsed by the government of participating countries. The implementation of the NAP financially depends on availability of funds through the planetGOLD programme.

It was impossible for the evaluator to visit any of the participating countries, limiting the scope of this review. Feedback to the review demonstrated appreciation for the acceptable quality of the NAP and for the communication between the EA, the IA and national counterparts, experts and the civil society.

Rating for Sustainability: Moderately likely.

Conclusions and Recommendations

Conclusions

The project has successfully reached its objective of national stakeholders in participating countries using scientific and technical knowledge and tools to develop a National Action Plan to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from artisanal and small-scale gold mining.

The project was strategically relevant to UNEP's priorities and was complementary to previous interventions in some countries, in its efforts to implement and comply to the Minamata Convention. It builds on the Minamata Initial Assessment and the notification to the convention secretariat that the ASGM sector is more than insignificant, in accordance with Article 7.

The data gathering aspect of the project was relatively successful and allowed relevant stakeholders to have an assessment of the sector, the conditions of work and the amount of mercury used, emitted and released from ASGM. The project design was realistic, however, time frame insufficient, to develop and officially endorse the National Action Plan. No financial mismanagement or issues were reported, however, the budget did require some revision during the implementation. Monitoring, reporting and review plans were executed as per the project design, and all stakeholders interviewed complimented the process and felt implicated and their views heard and reflected in the outputs.

Gender mainstreaming was considered, however, no gender specialist was recruited on the project as planned at the design stage. Therefore, no extensive elaboration on gender mainstreaming activities were conducted as part of the project and planned as part of the final NAP. This does not affect the quality of the NAP but should be further considered during NAP implementation.

The NAPs developed are a high-quality assessment of the ASGM sector and strategy to reduce the use of mercury and formalize the sector. Its future implementation is however largely dependent on continuous capacity building at the national level, public awareness, financial availability, and coordination with other ASGM projects in country. Under GEF resources, planetGOLD programme is the funding source of all the NAP implementation projects, where 5 out of 8 countries (Republic of Congo, Kenya, Uganda, Zambia and Zimbabwe) are involved in different stages.

Lessons learned

- There were minimal capacities at the country level to manage funds, therefore, for a regional project of this size, it was beneficial to have one main executing agency
- Data collection and field visits are vital to the NAP project: not only does it provide a realistic assessment of the amounts of mercury used in, and emitted and released by the ASGM sector, but it also allows the executing agency to encounter the local communities and consider their needs and concerns when developing the NAP. Therefore, the timing and preparation of the field visits should be carefully planned and considered including extreme weather conditions and availability of needed equipment

- Awareness raising was never part of the project outcomes. But during inception workshop, awareness raising was advanced as project was introduced in the countries. As an example, remaining funds in Uganda were used to visit Tanzania to share experiences
- It has been proven that when the executing agency does not speak the language of target countries (e.g. French), communication efficiency and effectiveness are negatively affected
- It has been proven that when the executing agency are in possession of a dollar account to manage GEF project funds, there will be unavoidable financial loss due to exchange rates. This loss, which the project will eventually absorb, translates into a loss for the target countries
- Large regional enabling activity projects require additional time for completion due to the amount of coordination needed
- Gender mainstreaming of NAP projects should be conducted more thoroughly, as defined in guidance developed by UNEP and the GEF. The importance of gender mainstreaming was only stressed and encouraged during inception
- Several countries (Kenya, Uganda, Republic of Congo, and Zambia) are currently part of the planetGOLD programme, this is an excellent continuation of the project to implement the NAP. The project results contributed to the inclusion of these countries in planetGOLD
- Release of tools and methodologies by the global component took time, therefore, many countries did not have the resources to develop various chapters of their NAP, however, the focal points are part of the mailing list and will receive updates on new publications and tools as they become available

Recommendations

- When developing future NAP projects, the Implementing Agency should define gender considerations in the LogFrame, with targets, indicators and means of verification. This will anchor the considerations in the project document, give the EA with a clear expectation of results and facilitate the execution and review of this aspect
- While there are advantages for regional projects on sharing valuable experiences, for enabling activities, no more than 3-4 countries should be included as each country progresses at a different pace and may impact the overall efficiency and effectiveness of the project
- During the selection of target countries, diversity of languages spoken should be considered as English vs. French speaking countries sometimes cannot effectively communicate with each other, both oral and in written forms
- Some countries complained about the transfer of funds from executing agency so administrative improvements are needed. Executing agency had problems sending money to countries because accounts were in South African Rand. Therefore, all executing agencies working on GEF projects should open a dollar account
- Executing agencies for large regional projects need to demonstrate their ability and skills in effective communication
- Executing agencies for ASGM related projects should have more expertise and experience in the sector
- Countries in all regions of the world need to learn how to work effectively together, as not all countries will receive additional funding from the GEF to continue their work on ASGM, especially NAP implementation

Annex 1. List of Key Stakeholders

N°	NAME	FUNCTION
1	Jérôme Ahishakiye	Environmental Education Service Chief and NAP/ASGM project Assistant (Burundi)
2	Martial Siodot	Point Focal de la Convention de Minamata sur le Mercure (CAR)
3	Ghynel Kounkoug	Ministry of Mines (Congo)
4	Genevieve Bazoma Dongui	Point Focal SAICM (Congo)
5	Mr. Francis Kihumba	Coordinator Mercury Initial Activities (Kenya)
6	Dlamini Bianca Hlob'sile	NAP coordinator (Eswatini)
7	Anne Lillian Nakafeero	Senior Environment Management Officer/Mercury Desk Officer (Uganda)
8	Christopher Kanema	Principal Inspector – Pesticides and Toxic Substances (PTS) (Zambia)
9	Pauline Dhlakama	MoE, Minamata focal point (Zimbabwe)
10	Doubt Mhizha	NAP project officer (Zimbabwe)
11	Last Hwengwere	NAP project officer (Zimbabwe)
12	Jospeh Malapasi	Africa Institute Director
13	Thabo Moraba	NAP Africa Institute coordinator

Annex 2. List of documents consulted

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Annex 3. Weighting of Ratings of the Terminal Review

Select ratings in this column from the drop down menu scores and weighted scores are generated automatically					
If there is no 'drop down' menu for a cell, the rating is calculated automatically from the sub-categories					
↓					
	Evaluation criteria	Rating	Score	Weight	Weighted Score
A	Strategic Relevance (select the ratings for sub-categories)	Satisfactory	5	6	0,3
	<i>Alignment to MTS and POW</i>	Satisfactory	5	0,5	
	<i>Alignment to UNEP/GEF/Donor strategic priorities</i>	Satisfactory	5	0,5	
	<i>Relevance to regional, sub-regional and national issues and needs</i>	Satisfactory	5	2,5	
	<i>Complementarity with existing interventions</i>	Satisfactory	5	2,5	
B	Quality of Project Design	Satisfactory	5	4	0,2
C	Nature of External Context	Favourable			
D	Effectiveness (select the ratings for sub-categories)	Moderately Satisfactory	4	45	1,9
	<i>Availability of outputs</i>	Moderately Satisfactory	4	5	
	<i>Achievement of direct outcomes</i>	Moderately Satisfactory	4	30	
	<i>Likelihood of impact</i>	Likely	5	10	
E	Financial Management (select the ratings for sub-categories)	Moderately Unsatisfactory	4	5	0,2
	<i>Adherence to UNEP's policies and procedures</i>	Moderately Unsatisfactory	3		
	<i>Completeness of project financial information</i>	Moderately Satisfactory	4		
	<i>Communication between finance and project management staff</i>	Moderately Unsatisfactory	3		
F	Efficiency	Moderately Unsatisfactory	3	10	0,3
G	Monitoring and Reporting (select the ratings for sub-categories)	Satisfactory	5	5	0,2
	<i>Monitoring design and budgeting</i>	Satisfactory	5		
	<i>Monitoring of project implementation</i>	Satisfactory	5		
	<i>Project reporting</i>	Moderately Satisfactory	4		
H	Sustainability (select the ratings for sub-categories)	Moderately Likely	4	20	0,8
	<i>Socio-political sustainability</i>	Likely	5		
	<i>Financial sustainability</i>	Moderately Likely	4		
	<i>Institutional sustainability</i>	Likely	5		
I	Factors Affecting Performance (select the ratings for sub-categories)	Moderately Satisfactory	4	5	0,2
	<i>Preparation and readiness</i>	Satisfactory	5		
	<i>Quality of project management and supervision</i>	Moderately Unsatisfactory	3		
	<i>Stakeholder participation and cooperation</i>	Satisfactory	5		
	<i>Responsiveness to human rights and gender equity</i>	Moderately Unsatisfactory	3		
	<i>Environmental, social and economic safeguards</i>	Satisfactory	5		
	<i>Country ownership and driven-ness</i>	Satisfactory	5		
	<i>Communication and public awareness</i>	Moderately Unsatisfactory	3		
				100	4,12
				Moderately Satisfactory	
Select ratings in this column from the drop down menu scores and weighted scores are generated automatically					
If there is no 'drop down' menu for a cell, the rating is calculated automatically from the sub-categories					

Annex 4. Terminal Review Terms of References without Annexes

**Terminal Review of the UNEP/GEF project
“Regional Project on the Development of National Action Plans for the Artisanal and Small Scale Gold Mining in Africa” and “GEF ID 9276”**

Section 1: PROJECT BACKGROUND AND OVERVIEW

(This section describes what is to be reviewed. Key parameters are: project timeframe, funding envelope, results framework and geographic scope)

A. Project General Information

Table 1. Project summary

UNEP Sub-programme:	5	UNEP Division/Branch:	Economy/Chemicals and Health
Expected Accomplishment(s):	5(a) PoW 2016-2017 - countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”.	Programme of Work Output(s):	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
SDG(s) and indicator(s)	12.4.1: number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement.		

Project Title:	Regional Project on the Development of National Action Plans for the Artisanal and Small Scale Gold Mining in Africa
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Executing Agency:	Africa Institute
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Project partners:	Global Mercury Partnership and Ministries of Environment of participating countries
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Geographical Scope:	Africa
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Participating Countries:	Burundi, Congo (Republic of), Central African Republic, eSwatini, Kenya, Uganda, Zambia, Zimbabwe		
GEF project ID:	9276	Coding blocks*¹⁴:	GFL-2310-2761 SB-001062.03.02.26 S1-32GFL-000626 P1-33GFL-001035
Focal Area(s):	Chemicals and Wastes	GEF OP #:	2
GEF Strategic Priority/Objective:	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	GEF approval date*:	08/09/2016
UNEP approval date:	19/10/2016	Date of first disbursement*:	23/08/2016
Actual start date¹⁵:	23/08/2016	Planned duration:	24 months
Intended completion date*:	23/08/2018	Actual or Expected completion date:	
Project Type:	Enabling Activity	GEF Allocation*:	\$4,000,000
PPG GEF cost*:	n/a	PPG co-financing*:	n/a
Expected MSP/FSP Co-financing*:	\$50,000	Total Cost*:	\$4,050,000
Mid-term Review/eval. (planned date):	n/a	Terminal Review (actual date):	
Mid-term Review/eval. (actual date):	n/a	No. of revisions*:	2
Date of last Steering Committee meeting:	n/a	Date of last Revision*:	31/01/2020
Disbursement as of 06 May 2020*:	\$3,465,405	Date of financial closure*:	
Date of Completion¹⁶*:		Actual expenditures reported by the EA as of 31 March 2020¹⁷:	\$2,771,838
Total co-financing realized as of 06 May 2020:		Actual expenditures entered in UMOJA as of 31 March 2020*:	\$3,100,469
Leveraged financing¹⁸:	n/a		
Dates of previous project phases:	n/a	Status of future project phases:	n/a

B. Project rationale¹⁹

The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties from developing countries and countries with economies in transition to implement the Convention²⁰. It identifies two entities that will function as the Financial Mechanism:

¹⁴ Fields with an * sign (in yellow) should be filled by the Fund Management Officer

¹⁵ Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

¹⁶ If there was a “Completion Revision” please use the date of the revision.

¹⁷ Information to be provided by Executing Agency/Project Manager

¹⁸ See above note on co-financing

¹⁹ Grey = Info to be added

²⁰ Text of the global legally binding instrument on mercury agreed by the Intergovernmental Negotiating Committee on its 5th session in January 2013. The text was adopted and opened for signature at the Diplomatic Conference held in Minamata and Kumamoto, Japan in October 2013.

1. The Global Environment Facility Trust Fund (GEF), and;
2. A Specific International Programme to support capacity-building and technical assistance.

The GEF has been strongly committed to support the ratification and further implementation of the Minamata Convention on Mercury since GEF-5 (2009-2013). The GEF-5 strategy contained a pilot program on mercury to accompany the negotiations of the Minamata Convention. An amount of \$15 million was set aside in GEF-5 to fund projects aimed at reducing mercury use, emissions and exposure; improving data and scientific information at the national level and enhancing capacity for mercury storage; and address waste and contaminated sites²¹. The gap between signature at end of 2013 and the start of GEF-6 in 2014 was considered a crucial period for countries to determine the feasibility of accepting or ratifying the convention after signature. Accordingly, the GEF Council agreed to invest up to \$10 million to help countries with initial assessments of the mercury situation in their countries.

In GEF-6 the GEF programmed additional \$30 million for countries to develop Minamata Initial Assessments and ASGM Action Plans²².

The GEF Secretariat in consultation with the Interim Secretariat of the Minamata Convention was tasked to develop initial guidelines for enabling activities and pre-ratification projects. The initial guidelines were presented as an information document at the 45th Council Meeting and revised by the Intergovernmental Negotiating Committee 6 (GEF/C.45/Inf.05/Rev.01). This document was complemented by the "Guidance document on the preparation of national action plans for artisanal and small-scale gold mining²³, adopted by the Conference of the Parties (COP) (decision MC-1/13).

At its sixth session held in Bangkok, Thailand, from 3 to 7 November 2014 the Intergovernmental Negotiating Committee (INC) applied a revised eligibility criterion in providing financial support to developing countries and countries with economies in transition for activities under the Minamata Convention on Mercury. It requested the eligibility for funding be extended for enabling activities to non-signatories to the Convention, provided that any such State is taking meaningful steps towards becoming a party. Such request was approved by the Council of the GEF in January 2015.

Cameroon was initially participating in the project. On June 2016 the GEF Operational Focal Point sent a letter to the UNEP GEF Coordination Office requesting to withdraw its participation from the project. Cameroon was replaced by Burundi.

Burundi signed the Minamata Convention on February 2014. On March 2016 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On June 2016, the GEF Operational Focal Point of Burundi endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. As of May 2020 Burundi has not ratified the Minamata Convention.

The Republic of the Congo signed the Minamata Convention on October 2014. On May 2015 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On August 2015, the GEF Operational Focal Point of the Republic of Congo endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. On August 2019 the Republic of the Congo ratified the Minamata Convention.

The Central African Republic signed the Minamata Convention on October 2013. On March 2014, the GEF Operational Focal Point of Central African Republic endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. On May 2015 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. As of May 2020 the Central African Republic has not ratified the Minamata Convention.

Kenya signed the Minamata Convention on October 2013. On June 2015 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On August 2015, the GEF Operational Focal Point of Kenya endorsed the development of

²¹ Strategy for the pilot is presented in the document GEF/C.39/Inf.09

²² UNEP/MC/COP.2/INF/3

²³ UNEP/MC/COP.1/17

an ASGM National Action Plan with UNEP as Implementing Agency. As of May 2020 Kenya has not ratified the Minamata Convention.

On June 2015, the GEF Operational Focal Point of the Kingdom of eSwatini endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. On July 2015 the acting Minister for Tourism and Environmental Affairs of eSwatini notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. He also confirmed that eSwatini was taking meaningful steps towards accessions and implementation of the Minamata Convention. eSwatini ratified the Minamata Convention on September 2016.

Uganda signed the Minamata Convention on October 2013. On July 2014 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On July 2015, the GEF Operational Focal Point of Uganda endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. Uganda ratified the Minamata Convention on March 2019.

Zambia signed the Minamata Convention on October 2013. On July 2015 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On July 2015, the GEF Operational Focal Point of Zambia endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. Zambia ratified the Minamata Convention on March 2016.

Zimbabwe signed the Minamata Convention on October 2013. In June 2015 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On June 2015, the GEF Operational Focal Point of Zimbabwe endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. As of 6th May 2020 Zimbabwe has not ratified the Minamata Convention.

The project was developed based on the guidelines for the development of ASGM National Action Plans approved by the Minamata COP. The GEF Chief Executive Officer endorsed the project on September 2016 as part of GEF's efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 "develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes"; program 2 "support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring".

The project also contributed to achieve UNEP's Programme of Work for 2016-2017 through its expected accomplishment A under subprogramme 5 chemicals and waste.

The project was aimed at facilitating the use of scientific and technical knowledge and tools by national stakeholders in participating countries to develop the ASGM National Action Plans. The future implementation of the ASGM National Action Plan will contribute to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing.

3. Project objectives and components:

Objective:

Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in participating countries.

Project components:

1. Regional information exchange, capacity building and knowledge generation
2. Establishment of Coordination Mechanism and organization of process

3. Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices
4. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM

3. Single generic causal pathways



Logical Framework:

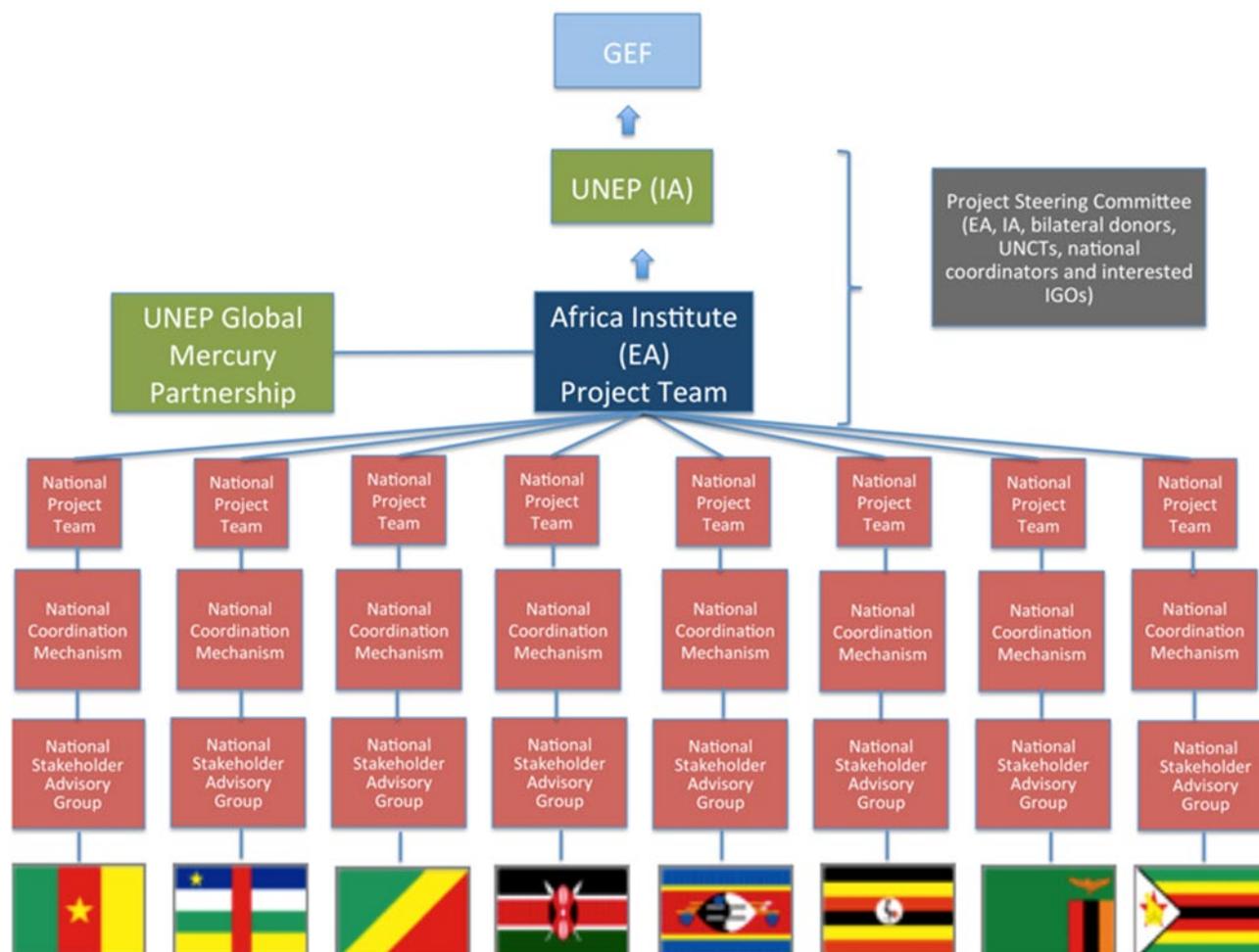
Relevant Expected Accomplishment in the Programme of Work:			
<i>Expected accomplishment B: Countries, including Major Groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and the related MEAs</i>			
1. Project Outcome	Indicators	Means of Verification	
Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in participating countries.	-Number of National Action Plans developed, endorsed and officially submitted to the Minamata Secretariat (<u>Baseline</u> : 0. <u>Target</u> : at least 6).	- Website of the Minamata Convention on Mercury	
Project milestones that show progress towards achieving the project outcome			Expected Milestone Delivery Date
M1: 6 draft NAPs developed			April 2017
M2: 6 NAPs developed, endorsed and officially submitted to the Minamata Secretariat			Dec 2017 (end of project)
2. Project Outputs:	Indicators	Means of Verification	PoW-EA Output
A) Capacity building provided, information exchange undertaken, lessons learnt and good practices identified at regional level	<ul style="list-style-type: none"> - Number of roster of experts developed (<u>Baseline</u>: 0. <u>Target</u>:1); - Number of tools and methodologies for NAP development identified (<u>Baseline</u>: 0. <u>Target</u>: at least 5); 	<ul style="list-style-type: none"> - Website of the Global Mercury partnership; - National baseline estimates of Hg emissions from the ASGM sector. 	524.2 Portfolio of GEF funded projects in support of the Minamata Convention

	<ul style="list-style-type: none"> - Number of countries participating in capacity building trainings (<i>Baseline</i>: None. <i>Target</i>: at least 6); - Number of countries assisted with baseline inventories (<i>Baseline</i>: None. <i>Target</i>: at least 6); - Number of national baseline estimates of Hg emissions from the ASGM sector available in the Global Mercury Partnership website (<i>Baseline</i>: None. <i>Target</i>: at least 6). 		
Project output Milestones:			Expected Milestone Delivery Date
M1: roster and tools and methodologies available to participating countries			March 2016
<p>B) Technical support provided for the establishment of National Coordination Mechanisms and organization of process for the development of the NAP</p>	<ul style="list-style-type: none"> - Number of stakeholders actively participating in the National Coordination Mechanism and National Advisory Groups; (<i>Baseline</i>: 0. <i>Target</i>: at least 4 Ministries in the National Coordination Mechanisms in each participating country; representatives of at least 8 stakeholder’s groups in each participating country); - Number of consultations with the National Coordination Mechanism and the National Advisory Groups (<i>Baseline</i>: 0. <i>Target</i>: at least 1 consultation every month with the National Coordination Mechanism and the National Advisory group in each participating country) - Number of women’s association actively participating in the National Advisory 	<ul style="list-style-type: none"> -List of participants and minutes of the National Coordination Mechanism meetings; - List of participants of the consultations with the National Advisory Groups. 	<p>524.2 Portfolio of GEF funded projects in support of the Minamata Convention</p>

	Groups (<i>Baseline: 0. Target: at least 1 in each participating country</i>).		
Project Milestones:			Expected Milestone Delivery Date
M2: at least 7 consultations with the National Coordination Mechanism and the National Advisory Groups in each country			Dec 2016
C) Participating countries have a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices	- Number of comprehensive national overviews of the ASGM sector developed. (<i>Baseline: 0. Target: 6</i>)	- national overviews of the ASGM sector available Global Mercury Partnership website.	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
Project Milestones:			Expected Milestone Delivery Date
M3: 6 comprehensive national overviews of the ASGM sector developed			June 2017
D) Participating countries have a NAP compliant with Annex C of the Minamata Convention developed, endorsed and officially submitted to the Minamata Secretariat	- Number of NAP developed, endorsed and officially submitted to the Minamata Secretariat (<i>Baseline: 0. Target: 6</i>)	- NAP s available at the Minamata Secretariat website.	524.2 Portfolio of GEF funded projects in support of the Minamata Convention
Project Milestones:			Expected Milestone Delivery Date

M4: 6 draft NAPs developed	Sep 2017
M4: : 6 NAPs developed, endorsed and officially submitted to the Minamata Secretariat	Dec 2017

C. Executing Arrangements



D. Project Cost and Financing

Component	Original budget	Revised budget 2	Expenditures as of 31 st March 2020
Component 1	\$476,600.00	\$482,000.00	\$464,981.00
Component 2	\$358,200.00	\$313,900.00	\$313,473.23
Component 3	\$1,982,900.00	\$1,956,021.00	\$1,771,024.61
Component 4	\$933,900.00	\$926,652.00	\$384,382.22
Project Management	\$190,400.00	\$263,427.00	\$164,877.28
M&E	\$58,000.00	\$58,000.00	\$1,732.00
Total	\$4,000,000.00	\$4,000,000.00	\$3,100,470.34

E. Implementation Issues

[Record any important issues that have arisen in the implementation of the project including: significant delays, changes in partners, implementing countries and/or results statements. Some of these issues may have been reported in the annual Project Implementation Review reports. Note the dates when such changes have been approved and who by]

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

(Apart from section 8, where you could insert up to 3 strategic questions that are in addition to the evaluation criteria, this section is standard and does not need to be revised for each project)

F. Objective of the Review

In line with the UNEP Evaluation Policy²⁴ and the UNEP Programme Manual²⁵, the Terminal Review (TR) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and [main project partners]. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation [especially for the second phase of the project, if applicable].

G. Key Evaluation principles²⁶

Evaluation findings and judgements will be based on sound evidence and analysis, clearly documented in the Review report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

The “Why?” Question. As this is a Terminal Review and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was and make a serious effort to provide a deeper understanding of “why” the performance was as it was (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

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

Communicating Review results. A key aim of the Review is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the review process and in the communication of review findings and key lessons. Clear and concise writing is required on all review deliverables. Draft and final versions of the main Review Report will be shared with key stakeholders by the Task Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Task Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate

²⁴ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

²⁵ <https://wecollaborate.unep.org>

²⁶ The term Review Consultant is used in the singular throughout these Terms of Reference and can be taken to refer to consultants in cases where a Review Team is formed.

the key review findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of a review brief or interactive presentation.

H. Key Strategic Questions (OPTIONAL ADDITION - DELETE IF NOT REQUIRED)

In addition to the evaluation criteria outlined in Section 10 below, the Review will address the strategic questions listed below (no more than 3 questions is recommended). These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution:

- Has the project facilitated the ratification of the Minamata Convention by participating countries?
- Why some participating countries have not ratified the Minamata Convention?
- Has the project facilitated the early implementation of the Minamata Convention?
- Are national stakeholders aware of their obligations under the Convention?
- Other strategic questions to be identified by the Project Manager.

I. Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance.

Annex 1 of these Terms of Reference provides a table with links to various tools, templates and guidelines that can help Reviewer to follow the approach taken by UNEP Evaluation Office in its evaluation work. These links include one to a table for recording the ratings by criteria and an excel file determining the overall project performance rating (using a weighted averaging approach). There is also a matrix that provides guidance on how to set the ratings level (at which point on the 6-point scale) for each evaluation criterion. Please contact Cecilia Morales (cecilia.morales@un.org) if any of these links do not work.

A. Strategic Relevance

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

- i. *Alignment to the UNEP Medium Term Strategy²⁷ (MTS) and Programme of Work (POW)*

The Review should assess the project's alignment with the UNEP MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

- ii. *Alignment to Donor/GEF Strategic Priorities*

Donor, including GEF, strategic priorities will vary across interventions. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building²⁸ (BSP) and South-South

²⁷ UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

²⁸ <http://www.unep.fr/ozonaction/about/bsp.htm>

Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

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

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

iv. *Complementarity with Existing Interventions*

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization²⁹, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The Review will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include work within UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

B. Quality of Project Design

The quality of project design is assessed using an agreed template during the review inception phase. Ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/templates-and-tools). The complete Project Design Quality template should be annexed in the Inception Report. Later, the overall Project Design Quality rating should be entered within the ratings table (as item B) in the Main Review Report and a summary of the project's strengths and weaknesses at design stage should be included in the Executive Summary of the Main Review Report. (Guidance on the Structure and Content of an Inception Report and Main Review Report is given in the materials listed in Annex 1 of these Terms of Reference).

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

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

C. Nature of External Context

At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval³⁰). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an *Unfavourable* or

²⁹ A project's inception or mobilization period is understood as the time between project approval and first disbursement.

Complementarity during project implementation is considered under Efficiency, see below.

³⁰Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Review Consultant and Task Manager together. A justification for such an increase must be given.

D. Effectiveness

i. Availability of Outputs³¹

The Review will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The Review will briefly explain the reasons behind the success or shortcomings of the project in making its programmed outputs available and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision³²

ii. Achievement of Project Outcomes³³

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed³⁴ Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes in the ProDoc is necessary to allow for an assessment of performance. The Review should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

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

iii. Likelihood of Impact

³¹ Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

³² For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as Implementing Agency.

³³ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

³⁴ UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the Review will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The Review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.³⁵

The Review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication³⁶ as part of its Theory of Change and as factors that are likely to contribute to long-lasting impact.

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

Factors affecting this criterion may include:

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

E. Financial Management

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

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

³⁵ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://wedocs.unep.org/handle/20.500.11822/8718>

³⁶ *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

F. Efficiency

Under the efficiency criterion the Review will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution.

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

The Review will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities³⁷ with other initiatives, programmes and projects etc. to increase project efficiency.

The Review will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

The factors underpinning the need for any project extensions will also be explored and discussed. Consultants should note that as management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to UNEP and Executing Agencies.

Factors affecting this criterion may include:

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

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART³⁸ results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. In particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed, where applicable.

ii. Monitoring of Project Implementation

³⁷ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

³⁸ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

The review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Review should confirm that funds allocated for monitoring were used to support this activity.

iii. Project Reporting

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

Factors affecting this criterion may include:

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

H. Sustainability

Sustainability³⁹ is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Review will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

i. Socio-political Sustainability

The Review will assess the extent to which social or political factors support the continuation and further development of the benefits derived from project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the review will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to sustain the benefit from projects outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The Review will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project outcomes have been extended into a

³⁹ As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

The Review will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the Review will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

I. Factors Affecting Project Performance and Cross-Cutting Issues

(These factors are rated in the ratings table but are discussed within the Main Review Report as cross-cutting themes as appropriate under the other evaluation criteria, above. If these issues have not been addressed under the Evaluation Criteria above, then independent summaries of their status within the reviewed project should be given in this section.)

i. Preparation and Readiness

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

ii. Quality of Project Management and Supervision

For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping and supervision provided by UNEP as Implementing Agency.

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

iii. Stakeholder Participation and Cooperation

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

pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

iv. Responsiveness to Human Rights and Gender Equity

The review will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the review will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment⁴⁰.

In particular the review will consider to what extent project, implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

v. Environmental and Social Safeguards

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements⁴¹ were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

vi. Country Ownership and Driven-ness

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

vii. Communication and Public Awareness

⁴⁰The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

⁴¹ For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

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

Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

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

The findings of the review will be based on the following: [This section should be edited for each evaluation]

- (a) **A desk review** of:
- Relevant background documentation, inter alia [list];
 - Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
 - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
 - Project deliverables (e.g. publications, assessments etc): [list];
 - Mid-Term Review or Mid-Term Evaluation of the project;
 - Evaluations/reviews of similar projects.
- (b) **Interviews** (individual or in group) with:
- UNEP Task Manager (TM);
 - Project Manager (PM) and project management team;
 - UNEP Fund Management Officer (FMO);
 - Portfolio Manager and Sub-Programme Coordinator, where appropriate;
 - Project partners, including [list];
 - Relevant resource persons.
 -
- (c) **Surveys** [provide details, where appropriate]

- (d) **Field visits** [provide details, where appropriate]
- (e) **Other data collection tools** [provide details, where appropriate]

J. Review Deliverables and Review Procedures

The review team will prepare:

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

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

Review of the draft review report. The Review Consultant will submit a draft report to the Task Manager and revise the draft in response to their comments and suggestions. The Task Manager will then forward the revised draft report to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Task Manager for consolidation. The Task Manager will provide all comments to the Review Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

The final version of the Terminal Review report will be assessed for its quality by the UNEP Evaluation Office using a standard template and this assessment will be annexed to the final Terminal Review report.

At the end of the review process, the Task Manager will prepare a Recommendations Implementation Plan in the format of a table, to be completed and updated at regular intervals, and circulate the Lessons Learned.

K. The Review Consultant

The Review Consultant will work under the overall responsibility of the Task Manager [name], in consultation with the Fund Management Officer [name], the Portfolio Manager [name] and the Sub-programme Coordinators of the [relevant UNEP Sub-programmes], [name].

The consultant will liaise with the Task Manager on any procedural and methodological matters related to the Review. It is, however, the consultant's individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the review as efficiently and independently as possible.

The Review Consultant will be hired over a period of X months [00 Month/Year to 00 Month/Year] and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of X years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a

good/broad understanding of [add technical experience] is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement and proficiency in X/knowledge of [language] is desirable. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

The Review Consultant will be responsible, in close consultation with the Task Manager, for overall quality of the review and timely delivery of its outputs, described above in Section 11 Review Deliverables, above. The Consultant will ensure that all evaluation criteria and questions are adequately covered.

L. Schedule of the review

The table below presents the tentative schedule for the review.

Table 3. Tentative schedule for the Review

Milestone	Tentative dates
Inception Report	
Review Mission	
Telephone interviews, surveys etc.	
Powerpoint/presentation on preliminary findings and recommendations	
Draft Review Report to Task Manager (and Project Manager)	
Draft Review Report shared with UNEP colleagues	
Draft Review Report shared with wider group of stakeholders	
Final Review Report	
Final Review Report shared with all respondents	

M. Contractual Arrangements

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

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

Schedule of Payment for the consultant:

Deliverable	Percentage Payment
Approved Inception Report	30%
Approved Draft Main Review Report	30%
Approved Final Main Review Report	40%

Fees only contracts: Air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Task Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

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

In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by UNEP, payment may be withheld at the discretion of the Portfolio Manager until the consultants have improved the deliverables to meet UNEP's quality standards.

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