

# Terminal Independent Evaluation Report

(GEF ID 6959)

## Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions

Final Report

July 2019



This report is a product of the Planning, Performance Monitoring, and Evaluation Unit of UNITAR, and the findings, conclusions and recommendations expressed therein do not necessarily reflect the opinion of the partners of the “Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions” project. The evaluation was conducted by Mr. Patrick Breard. The report is issued without formal copy editing. The designation employed and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of the United Nations Institute for Training and Research concerning the legal status of any country, city or area or its authorities or concerning the delimitation of its frontiers or boundaries.

## Preface

The “Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions” project aimed to undertake a Mercury Initial Assessment (MIA) to enable the Governments of Bangladesh, Guinea Bissau, Mauritania, Mozambique and Samoa to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention. Implemented from 2015 to 2019, the project was executed by UNITAR, and was funded by the GEF with UNDP as the implementing partner.

This evaluation assessed the project’s performance against expectations set out in the project’s results framework, which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation covered the criteria of relevance, effectiveness, efficiency, sustainability and to the extent possible impact. Overall, the evaluation found the project outcomes to be moderately satisfactory.

This report issues a set of five recommendations and four lessons learned.

The evaluation was managed by the UNITAR Planning, Performance Monitoring, and Evaluation Unit (PPME) and was undertaken by Mr. Patrick Breard, consultant and independent evaluator. The Unit provided guidance, oversight and quality assurance, as well as logistical support for fieldwork. The evaluation was managed in close coordination with the project management.

The PPME Unit is grateful to Patrick Breard, UNITAR’s Chemicals and Waste Management Unit, UNDP and the project’s country partners, and the other evaluation stakeholders for providing important input into this evaluation.

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## Acknowledgements

This terminal evaluation was prepared for the Planning, Performance Monitoring, and Evaluation Unit (PPME) of UNITAR by Dr Patrick Breard. The report benefits from a peer review conducted by PPME .

The consultant would like to thank UNITAR Project Team, UNDP, and national partners and stakeholders in Bangladesh, Guinea Bissau, Mauritania, Mozambique, and Samoa for their contribution and collaboration during the evaluation process. Their valuable insights and frank perspectives have contributed to inform the evaluation with rich findings and lessons learned.

## Executive Summary

**TABLE 1: PROJECT SUMMARY TABLE**

<b>Project Title</b>	Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions	
<b>GEF Project ID</b>	6959	
<b>UNDP PIMS ID</b>	5410	
<b>UNDP Award ID</b>	00088155	
<b>UNDP Project ID</b>	00094931	
<b>Countries</b>	Bangladesh, Guinea Bissau, Mauritania, Mozambique, Samoa	
<b>Region</b>	Global	
<b>GEF Focal Area</b>	Chemicals and Wastes	
<b>FA Objectives, (OP/SP)</b>		
<b>GEF Agency</b>	United Nation Development Programme (UNDP)	
<b>Executing Agency</b>	United Nations Institute for Training and Research (UNITAR)	
<b>Other Project Partners</b>	People’s Republic of Bangladesh: Department of Environment of Bangladesh; Bangladesh University of Engineering and Technology; Eco-Social Development Organization (ESDO) Republic of Guinea-Bissau: Secretariat of State for the Environment Mauritania: Ministry of Environment and Sustainable Development Mozambique: Ministry of Land, Environment, and Rural Development Samoa: Ministry of Natural Resources and Environment	
	at endorsement (million US\$)	at completion (million US\$)
<b>GEF Financing</b>	1.00	1.00
<b>IA/EA Own</b>	-	-
<b>Government</b>	0	0
<b>Other</b>	0	0
<b>Total co-financing</b>	0	0
<b>Total Project Cost</b>	1.00	1.00
<b>Project Document Signature (date project began)</b>	1 July 2015	
<b>(Operational) Closing Date</b>	Proposed: 30 May 2017	Actual: 30 June 2019

### PROJECT DESCRIPTION

Initiated in 2014, the overall goal of the “Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions” (Global MIA) project was for the Governments of Bangladesh, Guinea Bissau, Mauritania, Mozambique and Samoa to ratify the Minamata Convention on Mercury. The project’s immediate objective was for the countries to undertake a Mercury Initial Assessment (MIA) to determine the national requirements and needs for the ratification of the Minamata Convention, and to establish a national foundation to undertake future work towards the implementation of the Convention. The project was structured around two components, (1) Establishment of enabling environment for decision-making on the ratification of the Minamata Convention, and (2) Development of National Mercury Profile and Mercury Initial Assessment Report.

The Global MIA project was funded by the Global Environment Facility (GEF) with US\$1 million. The United Nations Development Programme (UNDP) was the implementing partner and United Nations Institute for Training and Research (UNITAR) the executing agency.

The main achievements of the project per outcome are summarized as follows:

**Table 2: Achievements of the project per outcome**

Outcome	Reported achievements
<b>Outcome 1.1:</b> National Coordination / Consultation Mechanism on Mercury operational	<ul style="list-style-type: none"> <li>• Awareness on Mercury issues created among all project stakeholders.</li> <li>• One global inception workshop attended by two countries and five national Inception Workshops organized.</li> <li>• National Coordination/Consultation Mechanism on Mercury established or mainstreamed in existing structures</li> </ul>
<b>Outcome 1.2:</b> Policy and regulatory framework, and institutional and capacity needs in regard to the implementation of Convention provisions assessed.	<ul style="list-style-type: none"> <li>• Assessment Reports finalized for four countries; drafted for Mozambique</li> </ul>
<b>Outcome 1.3:</b> Awareness raised on the environmental and health impacts of Mercury.	<ul style="list-style-type: none"> <li>• Awareness on the health effects of Mercury increased among decision makers, the general public and population groups at risk</li> </ul>
<b>Outcome 1.4:</b> Project countries equipped and prepared for the mainstreaming of national Mercury Priorities	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in four project countries; drafted in Mozambique</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for four project countries; not developed for Mozambique</li> <li>• Sample text for mainstreaming prepared for four countries</li> </ul>
<b>Outcome 2.1:</b> National capacity built to undertake Mercury inventories.	<ul style="list-style-type: none"> <li>• Five teams of national experts trained on conducting Mercury Inventories</li> <li>• National technical experts (consultants and Mercury Focus Group members) trained on data collection methodologies, reliability, credibility and data analysis.</li> </ul>
<b>Outcome 2.2:</b> National Mercury Profile available.	<ul style="list-style-type: none"> <li>• Mercury profile finalized for four project countries.</li> </ul>
<b>Outcome 2.3:</b> National MIA Report available.	<ul style="list-style-type: none"> <li>• Bangladesh: Final stage - MIA Report drafted and submitted to UNITAR and reviewed. Submitted to UNDP for review.</li> <li>• Guinea Bissau: Final stage - MIA Report finalized and being formatted.</li> <li>• Mauritania: Final stage – finalized and being formatted.</li> <li>• Mozambique: Medium stage – Legal report almost finalized; all other outputs are at the initial phase.</li> <li>• Samoa: MIA Report finalized completed – formatted and submitted to the Minamata Secretariat.</li> <li>• National reporting/validation review and meetings organized to approve/adopt the project’s outputs (Inventory, Mercury Profile, MIA Report, Mainstreaming Roadmap) in four countries.</li> </ul>

The project faced several challenges, constraints or shortcomings, among which the following ones are highlighted:

- Originally planned to be implemented over a period of 23 months, the project was extended twice and spanned over a period of 46 months;
- There was limited robustness in the methodologies used to assess learning needs and to monitor the outcomes of training activities;
- The project delivered one mercury inventory level 2 and three inventories level 1, while five level 2 inventories were initially targeted;
- At project closure, four MIA reports have been prepared (one fully completed, two finalized and being formatted, and one under final revision), while the project expected to deliver five MIA reports.

**TABLE 3: EVALUATION RATING TABLE**

<b>Evaluation Ratings:<sup>1</sup></b>			
<b>1. Monitoring and Evaluation</b>	<i>rating</i>	<b>2. IA &amp; EA Execution</b>	<i>rating</i>
M&E design at entry	4 (MS)	Quality of UNDP Implementation	4 (MS)
M&E Plan Implementation	4 (MS)	Quality of Execution - Executing Agency	4 (MS)
Overall quality of M&E	4 (MS)	Overall quality of Implementation / Execution	4 (MS)
<b>3. Assessment of Outcomes</b>	<i>rating</i>	<b>4. Sustainability</b>	<i>rating</i>
Relevance	2 (R)	Financial resources:	4 (L)
Effectiveness	5 (S)	Socio-political:	4 (L)
Efficiency	4 (MS)	Institutional framework and governance:	4 (L)
Overall Project Outcome Rating	4 (MS)	Environmental :	4 (L)
		Overall likelihood of sustainability:	4 (L)

## SUMMARY OF CONCLUSIONS, RECOMMENDATIONS AND LESSONS

The project proved overall relevant to respond to the international environment and development agendas and to support the countries in developing a Mercury Initial Assessment. The project was initiated with little knowledge about mercury use in the five countries and low capacities to undertake an inventory and to develop a MIA report. Project countries found the trainings and advisory support provided by UNITAR to be relevant. However, the evaluation found limited relevance in the design of the project which was set as a global initiative compared to carrying out five national projects. Furthermore, the project governance structure planned setting up Global and National Project Boards, and National Project Managers reporting to UNITAR. This setup was not realized, despite being potentially relevant to mitigating the lack of country presence from the executing agency.

The project's effectiveness was found to be satisfactory in achieving the intended outputs and outcomes. Mercury inventories Level 1 were conducted in Guinea Bissau, Mauritania, and Samoa, and a Level 2 inventory in Bangladesh, while the original project document referred to five Level 2 inventories. The MIA report was completed in Samoa and was submitted to the Convention. The MIA report has been finalized in Guinea Bissau and Mauritania and was under formatting at the time of the closure of the project. The MIA report for Bangladesh was at the final stage of revision. Mozambique remains at an intermediate stage of producing the MIA report. The MIA reports that have been finalized or drafted and the process towards their development have been effective in building a first rough baseline in each country, in delivering assessment studies, and in raising awareness among decision makers and the general public on the risks of Mercury and mercury-associated impact on human health and the environment. Further sensitization and outreach activities were reported required across the five countries, which is likely to be considered when implementing the Convention. UNITAR's training

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

activities, remote advisory support, and technical assistance were found effective in equipping a core community of national partners with the skills and knowledge necessary to own and conduct the project. The trainings delivered by UNITAR equipped target partners with the knowledge and skills to conduct the inventory and develop the studies forming the MIA report. Simultaneously, evaluation informants reported additional learning needs, either in terms of depth, scope, scale or periodicity of trainings that may inform future interventions.

The project was delivered within the set budget, but implemented over a period of 46 months compared to an originally planned duration of 23 months. This additional delay stems from a range of factors such as political instability in some project countries, institutional changes, administrative and technical issues, and/or competing priorities at the national level. Despite the efforts deployed by UNITAR, the lack of country presence and a project governance structure not implemented as designed likely reduced the opportunities to mitigate more swiftly these constraints. Direct financial contribution to national partners to implement the project amounted to 42.5 per cent of the total budget, the remainder being committed to international level technical assistance, project management and support. Project countries indicated that increased direct funding would have helped to conduct additional field audits to improve the accuracy of the inventories and awareness raising campaigns to reach largest numbers of communities. The evaluation assessed the efficiency of the project as moderately satisfactory.

The sustainability of the project outcomes was found to be likely, supported by the implementation of the Convention that was ratified by Guinea Bissau, Samoa and Mozambique.

The evaluation issued the following five recommendations (provided here in short form):

1. UNITAR should strengthen its knowledge management practices.
2. UNITAR should establish a community of practice on mercury and the implementation of the Convention.
3. UNITAR should assess more systematically and methodologically the learning needs of project beneficiaries, define learning objectives to training programmes and events, define baselines and measure/monitor short- and medium-term achievements of learning outcomes.
4. UNITAR should consider better scaling and institutionalizing technical support at the national level, either during project execution or by adding room to exit strategies in project documents that devise opportunities for future actions and collaboration in support of country partners.
5. Both agencies should consider maximizing the comparative advantages, UNITAR by concentrating project support to the provision of technical expertise -or adequately capacitate the national governance and management of similar projects- and UNDP by making the most of its country presence when implementing similar projects and closely engaging its Country Offices to support national partners implementing the Minamata Convention and to coordinate with the UN system.

The evaluation formulated several lessons that could be considered when designing future projects:

- Engaging high-level national leaders, policy makers, and senior officials through specific activities such as tailored capacity building and learning events seem effective to gain buy-in and accelerate project implementation;



- Global projects offer a platform to engage in south-south cooperation activities, either between project countries or by tapping the larger network of UNDP and UNITAR partners to seek the best possible synergies;
- Scaling and sustainability of a national inventory and awareness raising campaign remain bound to complementary funding; and
- Using a global project approach does not seem most appropriate to the development of national Mercury Initial Assessments, particularly given variations in capacity among targeted countries, and such projects should consider a longer period of time for implementation.

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## Acronyms and Abbreviations

ACOBES	Associação de Defesa do Consumidor de Bens e Serviços
ASGM	Artisanal and small-scale <i>gold</i> mining
BUET	Bangladesh University of Engineering and Technology
CAIA	Unit for Environmental Impact Assessment
CFC	Chlorofluorocarbons
CFL	compact fluorescent lamp
CO	Country Office
COP	Conference of the Parties
CSO	Civil Society Organization
DINAIA	Directorate of Environmental Impact Assessments
DoE	Department of Environment
ESDO	Eco-Social Development Organization
EU	European Union
GEF	Global Environment Facility
GHO	Global Health Observatory
GPB	Global Project Board
Hg	Mercury
HQ	Headquarter
HRBA	Human Rights-based Approach
IA	Implementing Agency
IAS	Institute of Applied Sciences
IDEA	Institute of Developing Economies
IOMC	Inter-Organization Programme for the Sound Management of Chemicals
LED	light-emitting diodes
LFA	Logical Framework Approach
LoA	Letter of Agreement
M&E	Monitoring and Evaluation
MC	Minamata Convention
MCC	Mercury Coordination Committee
MCM	Mercury Coordination/Consultation Mechanism
MEA	Multilateral Environmental Agreements
MIA	Mercury Initial Assessment
MICOA	Ministry for the Coordination of Environmental Action
MNRE	Ministry of Natural Resources and Environment
MoEFCC	Ministry of Environment, Forest and Climate Change
MPU	Montreal Protocol Unit
NAP	National Action Plan
NCCM	National Coordination/Consultation Mechanism
NCP	National Chemicals Profile
NGO	Non-governmental Organization
NPB	National Project Board
NPC	National Project Counterpart
NUS	National University of Samoa
PCA	Project Cooperation Agreement
PM	Project Manager
POPs	Persistent organic pollutants
RCU	Regional Coordination Unit
RTA	Regional Technical Advisor
SAICM	Strategic Approach to International Chemicals Management
SDC	Swiss Agency for Development and Cooperation
SDG	Sustainable Development Goals
SIDA	Swedish International Development Cooperation Agency

SMC	Sound Management of Chemicals
SROS	Scientific Research Organization of Samoa
TE	Terminal Evaluation
TOC	Theory of Change
TOR	Terms of Reference
UN	United Nations
UN DESA	United Nations Department of Economic and Social Affairs
UNDAF	United Nations Development Assistance Framework <sup>2</sup>
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UNSDCF	United Nations Sustainable Development Cooperation Framework
USP	University of the South Pacific
WHO	World Health Organization

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<sup>2</sup> UNDAF is now replaced by the new UN Sustainable Development Cooperation Framework (UNSDCF), but the report makes reference to UNDAF as the change only occurred in 2019.

## 1. Introduction

1. In January 2013, a United Nations (UN) agreement was reached on a global legally-binding convention on mercury “*The Minamata Convention on Mercury*”. The Minamata Convention aims to protect human health and the environment from the adverse effects of mercury. The major highlights of the Minamata Convention include a ban on new mercury mines, the phase-out of existing ones, control measures on air emissions and the international regulation of the informal sector for artisanal and small-scale gold mining. The Convention was adopted and opened for signature on 10 October 2013 at a Conference of Plenipotentiaries in Kumamoto, Japan. The Government of Guinea Bissau signed the Convention in September 2014, and the Governments of Bangladesh, Mauritania, Mozambique and Samoa signed the Convention in October 2014.

2. Initiated in 2014, the objective of the “Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions” (Global MIA) project was for the Governments of Bangladesh, Guinea Bissau, Mauritania, Mozambique and Samoa to undertake a Mercury Initial Assessment (MIA) to determine the national requirements and needs for the ratification of the Minamata Convention, and to establish a national foundation to undertake future work towards the implementation of the Convention. The Global MIA project was funded by the Global Environment Facility (GEF) with \$US1 million. The United Nations Development Programme (UNDP) was the implementing partner and the United Nations Institute for Training and Research (UNITAR) the executing agency.

3. This report presents the results of the independent terminal evaluation (TE) of the project. While all project stakeholders in principle are considered as having an interest in the outcome of the evaluation, the primary target audiences for the evaluation report are the GEF, UNDP and UNITAR. National partners and stakeholders are the secondary users of the evaluation.

## 2. Evaluation Approach

4. This section presents the purpose and scope of the evaluation, the evaluation methodology and the structure of the report.

### 2.1. Purpose of the evaluation

5. As stated in the evaluation Terms of Reference (TOR) under Annex 1, the purpose of this TE is primarily to strengthen accountability, but it also aims to promote organizational learning through useful analyses and recommendations. The focus is to understand what worked well and what did not. The evaluation concentrates on the period from 1 January 2015 to 30 June 2019. However, several ongoing initiatives predate this timeframe, accordingly the evaluation addressed resources relevant during this period, regardless of the initial roll-out/start date.

6. The evaluation report aims to inform the GEF, UNDP and UNITAR. The evaluation intends also to inform project beneficiaries. Lessons learned were formulated to serve the UNITAR Chemicals and Waste Management Programme Unit, with a view to inform the design and sustainability of future projects.

7. This TE was compulsory according to UNDP’s evaluation policy for projects above \$1 million. The objective of the evaluation was to assess the **relevance, effectiveness, efficiency, sustainability and impact** of the Global MIA project; to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP and UNITAR programming. The TE was conducted according to the guidance, rules and procedures established by UNDP and the GEF as reflected in the *UNDP Evaluation Guidance for GEF Financed Projects*, and according to *UNITAR’s*

*Monitoring and Evaluation Policy.* Furthermore, the evaluation was undertaken in accordance with the *United Nations norms and standards for evaluation.*

## 2.2. Scope & Methodology

8. The evaluation followed a participatory and consultative approach ensuring close engagement with government counterparts, the UNITAR project team and the UNDP GEF Technical Adviser based in the region. The evaluation collected and analysed data from a range of sources to triangulate and deepen understanding. Mixed methods of primary and secondary data collection were designed and implemented. Interviews were held with 16 staff, partners and stakeholders involved in the planning and implementation of the project (Annex 2). In lieu of country visits, the assessment involved a participation in the Final Global MIA Workshop allowing observation and interviews with the focal points of four of the five project countries (except Samoa). A comprehensive desk review was conducted to analyse background documents and secondary data/information and outputs related to the project (Annex 3). With a view to maximize feedback from a larger range of informants, the evaluation disseminated a survey to 38 project partners and stakeholders<sup>3</sup>. The survey was taken by 17 informants for a response rate of 45 per cent (Annex 4).

9. The evaluation used a combination of complementary tools for analysis. A qualitative analysis of the above evaluation criteria was conducted across data sources. A quantitative analysis was performed of survey responses including selected cross-tabulations (e.g. by gender).

10. An assessment of project performance was carried out, based against expectations set out in the results framework, which provides performance and outcome indicators for project implementation along with their corresponding means of verification. The evaluation covered the criteria of **relevance, effectiveness, efficiency, sustainability and impact**. The rating scales followed the UNDP-GEF guidelines and TOR as shown in the table 3 below. Rating of the evaluation criteria was found to be a difficult exercise as, on the one hand, not all the project outcomes were achieved despite two extensions of the agreement, but on the other side, it was noted that the project had been executed in a challenging context, covering four least-developed countries or Small Island Developing States (SIDS) out of five countries and facing complex national situations (political instability, natural disasters) during the course of its implementation.

**Table 4: Rating scales**

<p><b>Ratings for Outcomes, Effectiveness, Efficiency, M&amp;E, I&amp;E Execution</b></p> <p>6: Highly Satisfactory (HS): no shortcomings          5: Satisfactory (S): minor shortcomings          4: Moderately Satisfactory (MS): moderate shortcomings          3: Moderately Unsatisfactory (MU): significant shortcomings          2: Unsatisfactory (U): major problems          1: Highly Unsatisfactory (HU): severe problems</p>	<p><b>Sustainability ratings:</b></p> <p>4. Likely (L): negligible risks to sustainability          3. Moderately Likely (ML): moderate risks          2. Moderately Unlikely (MU): significant risks          1. Unlikely (U): severe risks</p>	<p><b>Relevance ratings</b></p> <p>2. Relevant (R)          1. Not relevant (NR)</p> <p><b>Impact Ratings:</b></p> <p>3. Significant (S)          2. Minimal (M)          1. Negligible (N)</p>
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11. It is believed that this evaluation report provides evidence-based information that is credible, reliable and balanced. However, the evaluation faced several limitations that influenced the design and findings of the assessment:

<sup>3</sup> The sampling methodology was convenience sampling. Target recipients were identified by National Focal Points and focused on individuals that had been directly involved in the project or indirectly benefited from it (e.g. members of the MCC, NGOs, academia, etc.).

- The project document planned for a mid-term evaluation, which could have informed this assessment, and for a final evaluation. However, only the present TE was performed and was undertaken with budgetary restrictions.
- The evaluation did not perform any country visits and face-to-face consultations with governments and practitioners other than those met in Istanbul. This may have reduced opportunities for collecting evidence of impact at the national level and for comprehensive identification of the challenges faced during project implementation (i.e. Theory of Action).
- The survey sample was limited, and the methodology used for the survey did not allow for installing a protocol that would ensure that results can be generalized<sup>4</sup>. Furthermore, the survey was available in English and French, but not in Portuguese, which may have contributed to a lower number of responses from Mozambique. The short time frame during which the survey was deployed did not allow for a more comprehensive collection of responses.
- Some information resources dating back to the earlier years of the project could not be retrieved, limiting reporting on some of the initial activities. Furthermore, the former Project Managers, who were no longer at UNITAR, were not interviewed.
- The ratings and descriptors, while useful to assess performance against the evaluation criteria, are nonetheless based on a degree of subjectivity which could be open to different interpretations.

### 2.3. Structure of the evaluation report

12. The structure of the report follows the *UNDP Evaluation Guidance for GEF Financed Projects*. The next section conveys a description of the project. The following section presents the findings of the assessment, including an analysis of the project design and implementation modalities, and the results that were achieved across the evaluation criteria. The final section of the report provides conclusions, lessons learned and recommendations.

## 3. Project description and development context

13. This section presents the project and development context, based primarily on a desk review of the project document and secondary sources.

### 3.1. Project start and duration

14. The preliminary project design work was initiated in 2014, with Mauritania, Mozambique, Samoa and Bangladesh endorsing in May-June 2014 the preparation of a project proposal. The project document was submitted to the GEF and approved in February 2015. On 9 September 2015, UNDP and UNITAR signed the Project Cooperation Agreement and the final project document, which indicated that the project would start on 1 July 2015 and end on 30 May 2017 (23 months). The Letters of Agreement and project documents were signed between UNITAR and Guinea Bissau in April 2016 (10 months after project start), Mauritania in April 2016, Samoa in June 2016, Mozambique in May 2017, and Bangladesh in June 2017. UNITAR informed UNDP about the delays in signing the agreements with the project countries. On 9 October 2017 (23 months after project start, i.e. after project end as foreseen before extension), UNITAR and UNDP signed a first amendment to the agreement, extending the project until 31 October 2018. On 5 October 2018, UNITAR and UNDP signed a second amendment to the agreement, extending the project until 30 June 2019. Altogether, the duration of the project was 46 months (Figure 1).

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<sup>4</sup> The survey was disseminated to a convenient sample. Accordingly, the sampling strategy did not ascertain that members were statistically representative of the entire population.



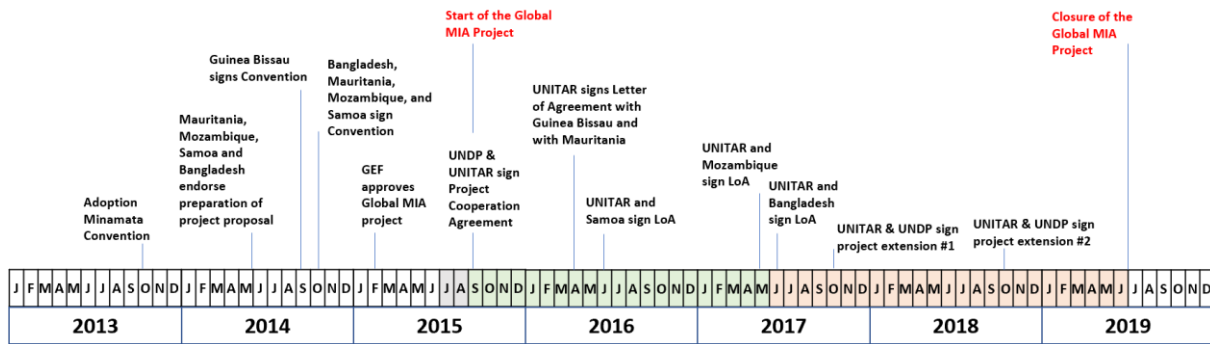


Figure 1: Global MIA Project Milestones

Source: Evaluation, 2019

### 3.2. Problems that the project sought to address

15. Mercury exists in various forms: elemental (or metallic) and inorganic (to which people may be exposed through their occupation); and organic (e.g., methylmercury, to which people may be exposed through their diet). These forms of mercury differ in their degree of toxicity and in their effects on the nervous, digestive and immune systems, and on lungs, kidneys, skin and eyes. Mercury is a global pollutant. Like persistent organic pollutants (POPs), mercury remains in the environment where it circulates among air, water, sediments, soil, and biota in various forms. Mercury is released into the environment from volcanic activity, weathering of rocks and as a result of human activity. Human activity is the main cause of mercury releases, particularly coal-fired power stations, residential coal burning for heating and cooking, industrial processes, waste incinerators and as a result of mining for mercury, gold and other metals.

16. In order to address the challenges posed by mercury on a global scale, the decision was taken in 2009 to start UN negotiations for a global, legally binding treaty to prevent emissions and releases of mercury. The UN negotiations were concluded in January 2013 with 147 governments agreeing to the draft convention text. The Convention was adopted and opened for signature on 10 October 2013. The Minamata Convention aims to reduce mercury emissions from all sources, including gold mining, dental practices, chlor-alkali plants, coal combustion, medical uses as well as waste management, storage, fate and transport in the atmosphere and other related issues. The objective of this Convention is to protect the human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds.

17. Article 20 of the Convention states, inter alia, that “Each Party may, following an initial assessment, develop and execute an implementation plan, taking into account its domestic circumstances, for meeting the obligations under this Convention”. To facilitate the early entry into force of the Convention, a Mercury Initial Assessment (MIA) provides a key instrument to allow a country to collect information to determine what is needed to ratify the Convention and, subsequently, to set a basis for any further work towards implementation. The development of a country’s MIA aimed therefore to assist a country in taking its decision to ratify and notify the Convention in accordance with article 7; to develop its National Implementation Plan in accordance with Article 20; and to prepare a national plan to reduce emissions of mercury in accordance with Article 8<sup>5</sup>.

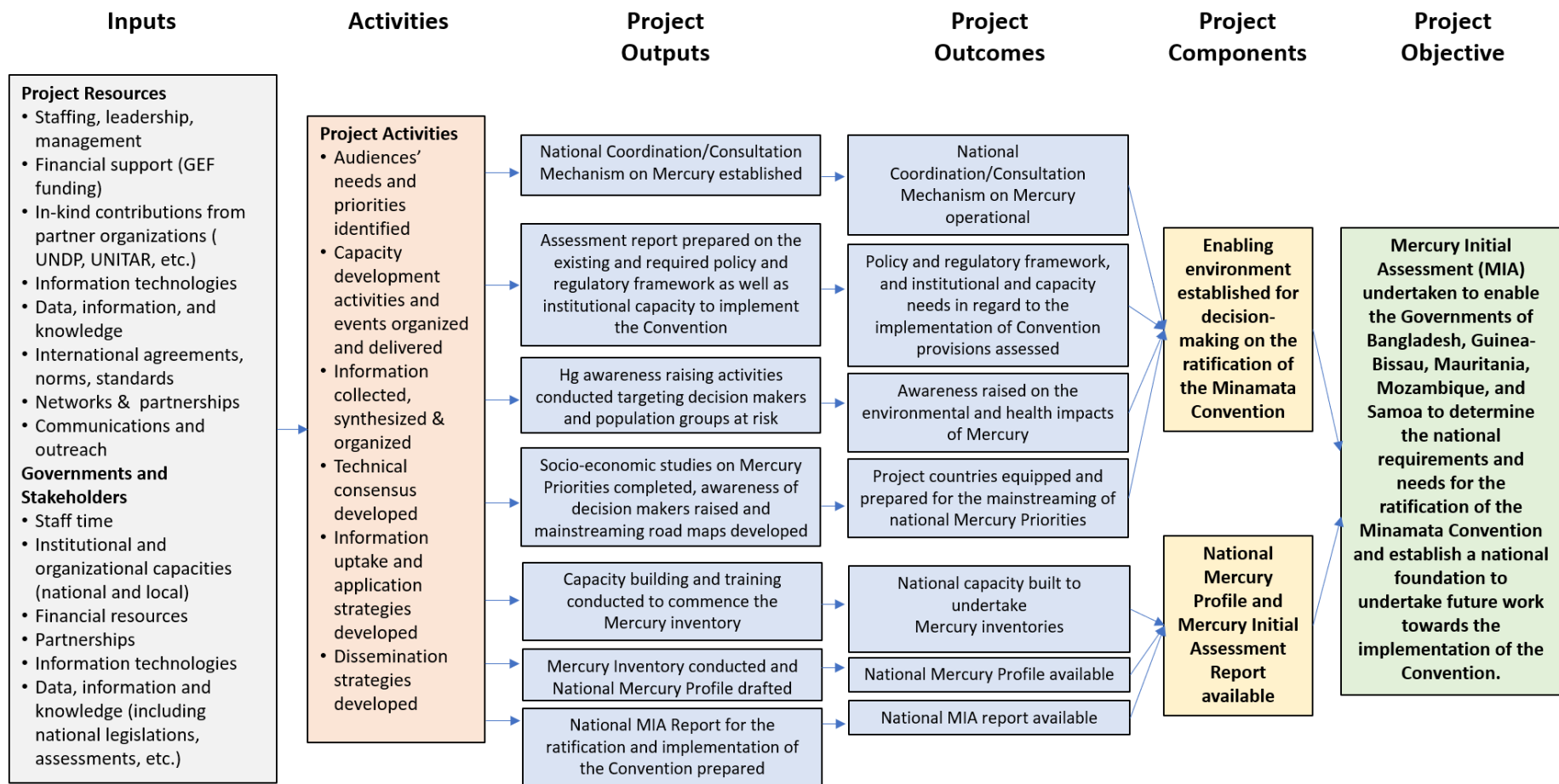
### 3.3. Immediate and development objectives of the project

18. The project’s **goal** was for the Governments of Bangladesh, Guinea Bissau, Mauritania, Mozambique and Samoa to **ratify the Minamata Convention**. The project’s **objective** was to undertake

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[http://www.Mercuryconvention.org/Portals/11/documents/Booklets/Minamata%20Convention%20on%20Mercury\\_booklet\\_English.pdf](http://www.Mercuryconvention.org/Portals/11/documents/Booklets/Minamata%20Convention%20on%20Mercury_booklet_English.pdf)

a **MIA** to enable the Governments of Bangladesh, Guinea Bissau, Mauritania, Mozambique and Samoa to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention. The project was structured around two components, (1) Establishment of enabling environment for decision-making on the ratification of the Minamata Convention, and (2) Development of National Mercury Profile and Mercury Initial Assessment Report. Project outcomes and outputs articulated in the project narrative are presented in Figure 2.



**Figure 2: Logframe of the Global MIA Project**

Source: Project Document, 2015

### 3.4. Expected results and baseline

19. The project results framework presented the following indicators, baselines and targets for the Component 1: *Establishment of enabling environment for decision-making on the ratification of the Minamata Convention.*

**Table 5: Project Results Framework**

Outcome	Indicator	Baseline	Targets
<b>Outcome 1.1:</b> National Coordination / Consultation Mechanism on Mercury operational	<ul style="list-style-type: none"> <li>• Awareness on Mercury issues created among all project stakeholders.</li> <li>• One regional and five national Inception Workshops organized.</li> <li>• National Coordination/Consultation Mechanism on Mercury established</li> </ul>	<ul style="list-style-type: none"> <li>• Some of the project countries do have chemicals related coordination mechanisms in place – however these require strengthening in terms of the life-cycle management of Hg. Other project countries do not have such mechanisms in place.</li> </ul>	<ul style="list-style-type: none"> <li>• One regional inception workshop/GPB meeting organized.</li> <li>• National Project Inception Workshops organized in each of the project countries.</li> <li>• National Coordination/Consultation Mechanism on Mercury, which is authorized to take decisions on Mercury, meets at least once every 6 months.</li> </ul>
<b>Outcome 1.2:</b> Policy and regulatory framework, and institutional and capacity needs in regard to the implementation of Convention provisions assessed.	<ul style="list-style-type: none"> <li>• Assessment Report finalized.</li> </ul>	<ul style="list-style-type: none"> <li>• None of the project countries have yet undertaken a comprehensive assessment of their policy and regulatory framework in light of the requirements for Minamata implementation.</li> </ul>	<ul style="list-style-type: none"> <li>• Institutional capacities, and the policy and regulatory framework in place to management of Mercury, assessed, gaps and needs identified.</li> <li>• Barriers that would hinder implementation of the Convention identified.</li> <li>• Assessment reviewed and discussed by Mercury Focus Group.</li> </ul>
<b>Outcome 1.3:</b> Awareness raised on the environmental and health impacts of Mercury.	<ul style="list-style-type: none"> <li>• Awareness on the health effects of Mercury increased among decision makers, the general public and population groups at risk.</li> </ul>	<ul style="list-style-type: none"> <li>• Some awareness of the impacts of Mercury is present – although the degree of awareness varies greatly by project country and sector.</li> </ul>	<ul style="list-style-type: none"> <li>• National Assessment on health and environmental impacts of Mercury concluded.</li> <li>• Population groups at risk identified.</li> <li>• Awareness raising plan finalized.</li> <li>• Public awareness raising campaign organized on the health and environmental effects of Mercury and how to manage Hg containing wastes properly.</li> <li>• Awareness raised among decisions makers and population groups at risk.</li> <li>• Preventive programmes on occupational exposure implemented.</li> </ul>

<b>Outcome 1.4:</b> Project countries equipped and prepared for the mainstreaming of national Mercury Priorities	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in each project country.</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for each project country.</li> <li>• Sample text for mainstreaming prepared for each country.</li> </ul>	<ul style="list-style-type: none"> <li>• In none of the project countries priorities related to Mercury have been mainstreamed. Neither do nat. government budgets contain activities/budget lines for mercury lifecycle management.</li> </ul>	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in each project country.</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for each project country.</li> <li>• Sample text for mainstreaming prepared for each country.</li> </ul>
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20. As for the project Component 2: *Development of National Mercury Profile and Mercury Initial Assessment Report*, the results framework presented the following indicators, baselines and targets.

Outcome	Indicator	Baseline	Targets
<b>Outcome 2.1:</b> National capacity built to undertake Mercury inventories.	<ul style="list-style-type: none"> <li>• 5 teams of national experts trained on conducting Mercury Inventories (at regional level)</li> <li>• National technical experts (consultants and Mercury Focus Group members) trained on data collection methodologies, reliability, credibility and data analysis.</li> </ul>	<ul style="list-style-type: none"> <li>• Bangladesh: Some limited capacity was built as part of an assessment of Mercury sources and hotspots in Bangladesh (ESDO, 2012).</li> <li>• Mozambique: Limited capacity following assessment of mining activities (2000)</li> <li>• Guinea-Bissau/Mauritania /Samoa no capacity on conducting inventories.</li> </ul>	<ul style="list-style-type: none"> <li>• National technical experts trained to be able to undertake the Mercury Inventory.</li> <li>• National Mercury Coordination/Consultation Mechanism members trained to be able to review the Hg Inventory.</li> </ul>
<b>Outcome 2.2:</b> National Mercury Profile available.	<ul style="list-style-type: none"> <li>• Mercury profile finalized.</li> </ul>	<ul style="list-style-type: none"> <li>• None of the project countries have a Mercury Profile.</li> </ul>	<ul style="list-style-type: none"> <li>• Methodology and work programme on how to conduct the inventory submitted and approved by the project board.</li> <li>• Mercury Inventory (Level 2) completed, incl.:               <ul style="list-style-type: none"> <li>- Overview of emission and releases sources</li> <li>- Inventory of wastes (stockpiles and generation rates)</li> <li>- Assessment of current practices to manage Hg</li> <li>- Identification of main risk groups</li> </ul> </li> <li>• Recommendations for improved Hg management prepared.</li> <li>• National Mercury Profile finalized.</li> </ul>

<b>Outcome 2.3:</b> National MIA Report available.	<ul style="list-style-type: none"> <li>National MIA Report finalized.</li> <li>Regional/National reporting/validation workshops organized to approve/adopt the project's outputs (Inventory, Mercury Profile, MIA Report, Mainstreaming Roadmap).</li> </ul>	<ul style="list-style-type: none"> <li>None of the project countries have a National MIA Report.</li> </ul>	<ul style="list-style-type: none"> <li>MIA Report prepared, containing: <ul style="list-style-type: none"> <li>Institutional structures available to implement the Convention.</li> <li>Barriers for implementation of the Convention.</li> <li>Summary of Mercury Profile.</li> <li>Identification of technical and financial needs for implementation of the Convention.</li> <li>Inventory of wastes (stockpiles and generation rates)</li> <li>Proposal for action.</li> <li>Recommendations for policy and regulatory revisions.</li> </ul> </li> <li>Lessons-Learned Report prepared.</li> <li>MIA Report reviewed, approved and adopted.</li> <li>One regional, or five national reporting/validation workshops will be organized to approve/adopt the projects outputs, among else the Inventory report, Mercury Profile, MIA Report and Mainstreaming Roadmap.</li> </ul>
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21. The section 4.1.1. (*Analysis of LFA/Results Framework*) below presents an analysis of the indicators and baselines.

### 3.5. Main stakeholders

22. The following main country partners identified by the project were as follows:

**Table 6: Country partner institutions**

Project Country	National Project Counterpart
Bangladesh	Department of Environment and Ministry of Environment and Forests
Guinea Bissau	Environmental Impact Assessment Unit (CAIA) of the Secretariat of State for the Environment
Mauritania	Ministry of Environment and Sustainable Development - Directorate of Pollution and Environmental Emergencies
Mozambique	Directorate of Environmental Impact Assessments, Ministry for the Coordination of Environmental Action (DINAIA, MICOA)
Samoa	Chemicals and Hazardous Waste Management Unit of the Ministry of Natural Resources and Environment (MNRE)

23. Additional key stakeholders that the project anticipated to engage are presented in the table 5 below. Such stakeholders were effectively involved in the five project countries<sup>6</sup>, either through different governance modalities e.g. membership in the MCC, or in the project Steering Committee or project activities e.g. training events, awareness raising, etc. **Table 7: Additional key stakeholders**

Type of Stakeholder	Description
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<sup>6</sup> For example, in **Bangladesh**, the preparation of mercury initial assessment was overseen by a Mercury Coordination Committee (MCC) headed by the Director General, Department of Environment. The MCC included members from Governmental and non-governmental entities such as the Ministry of Health, Bangladesh Dental Society, BSTI, private sector, academia and NGOs. As another example, in **Guinea Bissau**, the MIA project activities were guided by a Steering Committee headed by the General Director of Environment and with a diverse membership, including the Director of Service of Waste Centre and Chemical Products, and Stockholm Convention Focal Point, the GEF Focal Point, the SAICM Focal Point, representatives from the Ministry of Agriculture, Forestry and Livestock, the Municipality of Bissau, the General Direction of Customs, the Ministry of Trade, the National Institute of Health, the General Direction of Industry, and Simão Mendes National Hospital.

<b>Government entities</b>	<p><u>Ministries of Environment</u> - Responsible for providing policies pertaining to environmental protection e.g. such as National Environmental Policies, Environmental Management Acts and its Regulations, programmes and projects.</p> <p><u>Ministries of Finance</u> – Responsible for determining opportunities for mainstreaming existing financial mechanisms (e.g. collateral registries) that can be used to access financing for informal sectors such as ASGM.</p> <p><u>Ministries of Health</u> – The Ministry is responsible for the development and implementation of health policies and assumes responsibilities related to monitoring, control, regulation and standardization. In addition, the Ministry registers medical devices and monitors companies that import, manufacture, distribute and / or store medical equipment and devices.</p> <p><u>Ministries of Energy</u> – Ensuring that electricity systems functions with reliability and productivity, and promoting innovation in the energy sector.</p> <p><u>Ministries of Mining</u> – Formulation and administration of the rules and regulations and laws relating to mines and responsible for survey and exploration of all minerals.</p> <p><u>Ministries of Local Government and Municipalities/City Councils</u> - Regulate and supervise waste management in municipalities/districts/councils and are responsible for hazardous waste storage and disposal.</p>
<b>Private Sector</b>	Involved in various important aspects of the proposed project: Private and parastatal companies/industries responsible for the release of Mercury and production of mercury containing wastes; Services providers involved in waste collection, disposal and treatment; Distributors and retailers of Mercury containing and Mercury-free consumer products; Laboratories for testing and certification; etc.
<b>CSOs/NGOs</b>	Will be engaged in the project to help required and important information reach local communities at risk, the general public and decision makers on the environmental and health aspects and concerns of mercury releases and accumulation in the environment.

## 4. Findings

24. This section presents the evaluation findings based on factual evidence (indicator values, quantitative data, references) and documented perceptions from stakeholders. Findings (especially those based on perceptions) were cross-checked during different interviews and/or triangulated with available evidence.

### 4.1. Project Design / Formulation

25. The proposed expected accomplishment and the project framework, including envisaged activities, were found to be entirely in line with the GEF Initial Guidelines for Enabling Activities for the Minamata Convention on Mercury (GEF/C.45/Inf.05)<sup>7</sup>. These guidelines served the formulation of a range of comparable projects implemented by UNDP and/or other agencies (e.g. UN Environment, United Nations Industrial Development Organization) in different countries. Supported by the GEF,

<sup>7</sup> <https://www.thegef.org/sites/default/files/council-meeting-documents/GEF.C.45.Inf.05.Rev.1.Initial.Guidelines.for.Enabling.Activities.for.the.Minamata.Convention.on.Mercury.Jan.23.2014.4.pdf>

these projects share the same goal, structure and results framework as the Global MIA Project, and aim to *“Undertake a Mercury Initial Assessment (MIA) to enable the recipient country to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention”*<sup>8</sup>. The design and formulation of these projects is therefore like the one of the Global MIA Project, with the provision that a significant number of these projects focus on one country only (confer below section 4.1.8).

#### 4.1.1. Analysis of LFA/Results Framework

26. The project’s results framework/logical framework approach (LFA) offers a straightforward but archetypal representation of the project context and objectives. The underlying theory of change is found to be over-simplified. More specifically, the evaluation would assess the following limitations with the project’s LFA:

- The articulation between project outputs and outcomes is kept primarily at the output level (e.g. project output 1.1. *“National Coordination/Consultation Mechanism on Mercury established”* leading to project outcome 1.1. *“National Coordination/Consultation Mechanism on Mercury operational”*; or project output 2.3. *“National MIA Report for the ratification and implementation of the Convention prepared”* leading to project outcome 2.3. *“National MIA Report available”*);
- The LFA formulates two main causal pathways leading to a project objective positioned at the output level (*“Mercury Initial Assessment undertaken”*) without specifying a longer-term development outcome (e.g. measures identified and implemented to control the supply and trade of mercury, including setting limitations on specific sources of mercury, 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);
- Dependencies between project outputs as well as between project outcomes are omitted from the LFA (e.g. project output 2.1. *“Capacity building and training conducted to commence the Mercury inventory”* would likely contribute to project outputs under component 1 such as *“Assessment report prepared on the existing and required policy and regulatory framework as well as institutional capacity to implement the Convention”*);
- The chronology or causal sequence between outputs is not represented in the LFA (e.g. NCCM operational prior to preparation of the assessment reports); and
- The LFA does not specify the different types of stakeholders who are involved in, or contribute to the different project outputs and outcomes, which limits the visibility of their role and possible maximization in leading to the expected achievements.

27. Furthermore, the indicators presented in the results framework lead the evaluation to formulate the following comments:

- The logframe does not clearly state if the indicators and targets are at the outcome or output level (supposedly outcome);
- The indicators specified in the results framework appear as outputs mixing targets rather than indicators per se (e.g. *“Awareness on Mercury issues created among all project stakeholders”* instead of *“Level of awareness on Mercury among all project stakeholders”*; or *“One regional and five national Inception Workshops organized”* instead of *“Number of regional and national workshops organized”*; or outcome 2.1 *“National capacity built to*

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<sup>8</sup> Confer <https://www.thegef.org/projects> and <http://www.mercuryconvention.org/Implementation/Projectsdatabase/tabid/6137/language/en-US/Default.aspx>



*undertake mercury inventories*” and the indicator for that outcome is an output e.g. *“5 teams trained”*, training by itself is not a sufficient indicator for outcome change);

- The indicators and targets are sometimes identical (e.g. outcome/output 1.4 indicator *“Socio-economic study on Mercury priority(ies) completed in each project country”* and target *“Socio-economic study on Mercury priority(ies) completed in each project country”*, or indicator *“Awareness of decision makers raised”* and target *“Awareness of decision makers raised”*, etc.)
- Baselines are not necessarily specific (e.g. outcome baseline 1.3. *“Some awareness of the impacts of Mercury is present – although the degree of awareness varies greatly by project country and sector”*);
- Targets are not necessarily specific (e.g. outcome target 1.3. *“Awareness raised among decisions makers and population groups at risk”*); and
- Some outputs convey slightly different meanings and expectations when considering the project results framework and the Terms of Reference annexed to national Letters of Agreements (LoAs) (e.g. output 2.3 described as *“National MIA Report for the ratification and implementation of the Convention prepared”* in the results framework and as *“National MIA report for the ratification and implementation of the Convention, including an online version and hardcopies”* for Guinea Bissau, Mozambique, and Samoa).

#### 4.1.2. Assumptions and Risks

28. The project document identified several assumptions and risks that are commented below:

**Table 8: assumptions and risks**

Source	Assumption & Risk Assessment	Evaluation Comments
Outcome 1.1: National Coordination/Consultation Mechanism on Mercury operational	It is assumed that in the situation that a country disposes of an Inter-Agency Coordinating Mechanism on Chemicals – responsibilities related to Mercury can easily be added to their TORs. Risk: Low	Robust assumption: Countries will strive for efficiency and add-up Hg to existing relevant mechanisms (e.g. Stockholm Convention)
Outcome 1.2: Policy and regulatory framework, and institutional and capacity needs regarding the implementation of Convention provisions assessed	It is assumed that all involved institutions are willing to share information about current capacity, gaps and needs. Risk: Low	Weak assumption: Institutions may not be willing to share easily information.
Outcome 1.3: Awareness raised on the environmental and health impacts of Mercury	It is assumed that all government institutions are willing to share accurate information about the health effects of Mercury and the potential health exposure for certain risk groups. Risk: Medium	Moderately robust assumption: Willingness of some institutions and industry associations to share information may be limited.
Outcome 1.4: Project countries equipped and prepared for the mainstreaming of national Mercury Priorities	It is assumed that once the project has agreed on which Hg priorities to mainstream, national development plans are being reviewed and it is timely to mainstream selected priorities. Risk: High	Moderately robust assumption: Political will may vary during the process. Lobbying may influence pace of decision making.
Outcome 2.1: National capacity built to undertake Mercury inventories	It is assumed that the project will have available sufficient funds to hire technical experts that have already a proven track record in the area of Hg. Risk: Medium	Weak assumption: Availability of national experts with track record on Hg and inventory unlikely.

Outcome 2.2: National Mercury Profile available	The project team is able to collect the necessary data and information that would be necessary to prepare a high-quality Mercury Profile. Risk: Low	Moderately robust assumption: Capacity to explore at national level all field locations concerned or exposed to Hg unlikely with project resources.
Outcome 2.3: National MIA Report available	The MIA report is of sufficiently high quality and in line with government expectations, that it can be approved and adopted relatively fast. Risk: Low	Moderately robust assumption: Political will to ratify linked to local policy agenda.
Administrative risk	Slow hiring processes (consultants, consultancy services, etc.) due to Government processes.	Robust assessment: Contracting staff or external service providers can be submitted to lengthy processes to ensure fair and transparent procedures.
Coordination risk	Poor coordination between key Government Agencies and Ministries, as well as other stakeholders.	Robust assessment: Coordination between ministries and agencies on the domain area -Hg- likely to be non-existent and no prior function and processes for data collection and sharing between ministries/entities.
Technical risk	Insufficient awareness, technical knowledge, data availability, etc. available to undertake the MIA.	Robust assessment: Finding suitable in-country expertise would be likely difficult considering the lack of experience on national inventories and on Hg.

29. In addition to the above list, the evaluation found that additional risks or complementary assumptions could have been formulated by the project, such as:

- **Political risk:** Political instability in the country leading to unstable institutions affecting governance structure and decision making and delaying project implementation.
- **Environmental risk:** Environmental hazards or natural disasters in the country leading to routing resources, capacities, and attention to new national priorities.
- **Economic risk:** Surge in Hg demand in the country due to identification of new gold panning sites and increase in Artisanal and Small-Scale Mining (ASGM) activities, mitigating project outcomes and accuracy of the inventory.

#### 4.1.3. Lessons from other relevant projects incorporated into project design

30. Lessons learned or knowledge codified from previous experiences were brought into the project design through several means:

- Lessons-learned which emerged from the UNDP-UNEP Partnership Initiative on sound management of chemicals (SMC) mainstreaming has been that decisions makers and working groups involved in the review/drafting of development plans experience the mainstreaming of SMC priorities significantly simpler when they are provided with draft text that can be proposed for mainstreaming. Accordingly, the project planned to develop a roadmap for the mainstreaming of the most pressing priorities into the next cycle of the development planning process, and draft preliminary text that could be taken up in such plans. During project implementation, templates, guidelines, draft texts, and tools were provided to country partners.

- The project planned to make use of the UN Environment "*Toolkit for identification and quantification of Mercury releases*"<sup>9</sup>, which was intended to assist countries to develop a national Mercury releases inventory. It provides a standardized methodology and accompanying database enabling the development of consistent national and regional Mercury inventories. The toolkit served as a reference material and was disseminated to project countries.
- After completion of the data gathering stage, it was planned that a *National Mercury Profile*, would be prepared including significant sources of emissions and releases, as well as inventories of mercury and mercury compounds. The methodology applied for the development of the National Mercury Profile was expected to draw upon executing agency guidance materials/tools such as the 2012 UNITAR/IOMC National Profile Guidance Document "*Preparing a National Profile to Assess Infrastructure and Capacity Needs for Chemicals Management*"<sup>10</sup> among other guidance materials.
- In February 2017, UNDP in partnership with UNITAR and with review provided by the IOMC agencies<sup>11</sup>, released the "*Minamata Initial Assessment Report - Suggested Structure and Contents*". These guidelines offer a standardized approach for preparing a MIA Report that allows countries to be able to more easily compare their results and approaches, and learn from others' experiences. These guidelines build on a range of existing resources and lessons learned (e.g. lessons learned on UNDP-UN Environment SMC mainstreaming projects).

#### 4.1.4. Planned stakeholder participation

31. The stakeholder engagement process in the five project countries was to be led by UNITAR in close collaboration with the project counterparts in each of the five countries involving additional stakeholders including Government entities, private sector actors, and CSOs/NGOs (confer section 3.5 above). Different avenues were planned to ensure stakeholder participation, through project governance and implementation modalities:

- **Project Governance:** At Global level, the project was set to be guided by a Global Project Board (GPB) involving, inter alia, the National Project Counterparts for each of the project countries<sup>12</sup>. The Project Document planned for GPB meetings at least once every year. At country level, the project anticipated to be guided by a National Project Board (NPBs) in each of the project countries, which would serve as the Project's coordination and decision-making body under the lead of the National Project Counterparts. The NPB was expected to meet according to necessity, but not less than once in every 6 months, to review project progress, approve project work plans and approve major project deliverables at national level.
- **Project Implementation:** The Project Document referred to different activities to ensure close involvement of stakeholder during project implementation. Among the modalities considered, a Project Inception Workshop was planned to be organized within the first 2 months of the project start, with those with assigned roles in the project organization structure, UNDP country office and where appropriate/feasible regional technical policy and

<sup>9</sup> <http://web.unep.org/globalmercurypartnership/toolkit-identification-and-quantification-mercury-releases>

<sup>10</sup> <http://www2.unitar.org/cwm/publications/inp.aspx>

<sup>11</sup> IOMC agencies include: FAO, ILO, UNDP, UN Environment, UNIDO, UNITAR, WHO, World Bank, and OECD.

<sup>12</sup> Bangladesh: Department of Environment and Ministry of Environment and Forests; Guinea Bissau: Environmental Impact Assessment Unit (CAIA) of the Secretariat of State for the Environment; Mauritania: Ministry of Environment and Sustainable Development - Directorate of Pollution and Environmental Emergencies; Mozambique: Directorate of Environmental Impact Assessments, Ministry for the Coordination of Environmental Action (DINAIA, MICOA); Samoa: Chemicals and Hazardous Waste Management Unit of the Ministry of Natural Resources and Environment (MNRE).

programme advisors as well as other stakeholders. The project also planned a training targeted towards a group of national technical experts who would conduct and develop the National Mercury Profile. The training would also target key government representatives who were members of the “*Mercury Coordination/Consultation Mechanism (MCM)*” and who required sufficient knowledge about the manner in which a Mercury Inventory is carried out to be able to review it and comment on it. In addition, after completion of the data gathering stage, the National Mercury Profile was planned to be reviewed for approval and adoption by the MCM during a national stakeholder workshop.

#### **4.1.5. Replication approach**

32. The project document did not consider replication approaches such as south-south cooperation; increasing the number of private sector actors involved e.g. industry associations-; engaging an enlarged number of public institutions at local level -customs offices, health, education, etc.-; developing more detailed and regularly updated inventories; outreach to specific target groups; etc. However, it may have been difficult to consider replication and scaling from the onset of the Project Document and prior to the ratification of the Convention and formulation of the National Action Plans.

#### **4.1.6. UNDP and UNITAR comparative advantages**

33. UNDP was well positioned for this project, since it is accustomed to partnering with countries to catalyze environmental finance for sustainable development. UNDP’s Montreal Protocol/Chemicals Team, one of several technical teams within the UNDP Global Environmental Finance (UNDP-GEF) Unit, has been used to implement programmes funded under the GEF Chemicals and Waste Focal Area at UNDP through a partnership agreement with UNDP-GEF. Since 2004, UNDP has supported 84 countries implement POPs-related projects through national, regional and global programmes. In total, UNDP’s portfolio of POPs projects amounts to US\$156 million of grants (through GEF) and US\$392 million in co-financing. In addition, UNDP currently supports 42 countries with a GEF mercury portfolio of US\$46 million in grants and US\$32 million in co-financing. UNDP’s support assists countries to fulfil their obligations under the Minamata Convention, to phase out the use of mercury and reduce its releases from artisanal and small-scale gold mining, industrial process, power generation and mercury-containing products, among other sources.

34. Similarly, UNITAR’s Chemical and Waste Management Programme brought a broad experience providing guidance, training, and technical support to assist countries in assessing their existing legal, institutional, administrative, and technical infrastructures for sound chemicals management. UNITAR is part of the Global Mercury Partnership and runs also the mercury platform<sup>13</sup>.

#### **4.1.7. Linkages between project and other interventions within the sector**

35. Several linkages with other interventions were considered by the project. UNDP’s Montreal Protocol/Chemicals team in particular has assisted countries to meet their commitments to a number of Multilateral Environmental Agreements (MEAs), which have been drawn up to protect humans and the environment from the harmful effects caused by the use or misuse of toxic and hazardous chemicals. The best-known chemicals and waste related MEAs are the Stockholm Convention on Persistent Organic Pollutants (POPs), the Rotterdam Convention on the Prior Informed Consent Procedure, the Basel Convention on the Transboundary Movements of Hazardous Wastes and their Disposal, and the Minamata Convention on Mercury.

36. Furthermore, UNITAR has supported more than 100 countries on preparing national profiles to assess national infrastructure and capacity needs for chemicals management. This experience was to

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<sup>13</sup> <http://mercury.unitar.org/site/home>

be applied in assessing the mercury legal framework in these five countries as well as drafting regulations that are still needed at the national level for the sound management of mercury. UNITAR has also provided countries with support to ratify and early implementation of the Minamata Convention. In addition, since 2007, UNITAR had been supporting countries in developing mercury releases inventories and national action plans for the sound management of mercury and had developed Mercury:Learn, which was a platform that served as a knowledge and information sharing center on mercury (<http://mercury.unitar.org>). It included online training modules, an online forum, and can include tools for webinars.

37. Several countries were expected to leverage experience from previous initiatives, such as the National Chemicals Profile (NCP) produced in 2012 in Mauritania, the assessment of mercury sources and hotspots conducted by ESDO in Bangladesh in 2012, or a parallel project to support the development of a specific National Action Plan on Mercury in ASGM sector in Mozambique.

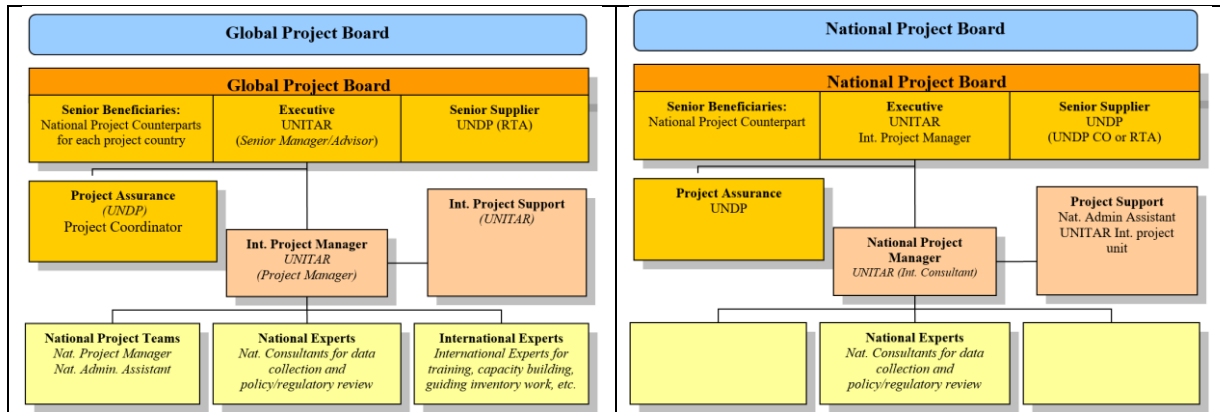
38. The global nature of the project was also envisioned to enable participating countries to learn important lessons from each other and be able to exchange and share experiences on the gathering and analysing of the data as well as the policy and regulatory frameworks that can be put in place to reduce the harmful impacts from exposure to mercury.

#### 4.1.8. Management arrangements

39. The project document described comprehensive, detailed and robust management arrangements. The following governance and management arrangements were planned at the **global level** (Figure 3a):

- **Implementing Agency:** UNDP was to act as the GEF Implementing Agency (IA) for the project. A UNDP Regional Technical Advisor (RTA), part of the Montreal Protocol/Chemicals Unit based in New York, was to provide overall oversight for project implementation.
- **Executing Agency:** UNITAR was to serve as the Executing Agency (EA) for the project and assume responsibility of the implementation of the project. This entailed inter alia to ensure that the project would remain focused on its objectives and deliver outputs that contribute to higher-level outcomes. UNITAR was also charged to ensure that the project provides value for money, ensuring a cost-conscious approach, and balancing the demands of Beneficiary and Supplier.
- **Senior Beneficiary:** The National Project Counterparts constituted together the Senior Beneficiary, which was responsible for validating the needs and for monitoring that the proposed solution meets those needs within the provisions of the project. The National Project Counterparts together constituted the Senior Beneficiary, represented by a representative from each of the five countries, appointed by the National Project Counterpart.
- **Senior Supplier:** This role was to represent the interests of the funding party (in this case the GEF) and/or provide technical guidance regarding the technical feasibility of the project. UNDP constituted the Senior Supplier for this project, this role resting with UNDP-MPU/Chemicals represented by the Regional Technical Advisor from the Montreal Protocol Unit/Chemicals based in New York City.
- **Project Board:** The Global Project Board (GPB) was defined as being responsible for making management decisions for the project. The Project Board was expected to play a critical role in project monitoring and evaluations by quality assuring these processes and products, and using evaluations for performance improvement, accountability and learning. It was tasked also to ensure that required resources were committed and to arbitrate on any conflicts within the project or negotiates a solution to any problems with external bodies. The Project

Board was equally responsible for approving Annual Work Plans. Based on the approved Annual Work Plans, the Project Board could also consider and approve the quarterly plans (if applicable) and approve any essential deviations from the original plans. The project was expected to be subject to Global Project Board meetings at least once every year. The first such meeting was to be held within the first 6 months of the start of full implementation. At the initial stage of project implementation, the GPB could, if deemed advantageous, wish to meet more frequently to build common understanding and to ensure that the project is initiated properly.



**Figure 3a: Global Management Arrangements**

Source: UNDP Project Document, 2015

**Figure 3b: National Management Arrangements**

Source: UNDP Project Document, 2015

- International Project Manager:** The International Project Manager (PM) was granted the authority to run the Project on a day-to-day basis on behalf of the Implementing and Executing Partner. The Project Manager was responsible, inter alia, for convening meetings of the Global Project Board, which would be chaired by one of the National Project Counterparts, on a rotational basis.

40. At the **national level** (Figure 3b), the National Project Board (NPB) was set to be responsible for making management decisions for the project at the national level. In each country, NPB meetings were planned to be chaired by the National Project Counterpart. Members of the NPB were to consist of key national government and non-government agencies, and appropriate local level representatives. Typically, the NPB would include a designated senior representative from the National Project Counterpart and from the Ministry in which the GEF Operational Focal Point was located, if different from National Project Counterpart. If not already covered by the above, the NPB was expected to include a representative or a liaison from each of the authorities responsible for the implementation of the Stockholm Convention, Minamata Convention and Basel Convention (if not based in the same authority), and representation from other relevant Government entities such as Ministries of Energy, Transportation, Health, Mining, Development, Finance, Agriculture, Fisheries, Natural Resources, among others, the UNDP country office, as well as one or more appropriate representatives from national NGOs and the private sector with demonstrated concern and activity in matters associated with the management of mercury. According to the project document, the NPB would contain three distinct roles:

- Executive Role:** This individual would represent the project “owners” and would chair the group. This role would rest with UNITAR.
- Senior Supplier Role:** The Senior Supplier’s primary function within the Board was to represent the interests of the funding party and/or provide technical guidance regarding the technical feasibility of the project. This role would rest either with the UNDP Country Office or the UNDP Regional Technical Advisor.

- **Senior Beneficiary Role:** This role required representing the interests of those who would ultimately benefit from the project. The Senior Beneficiary's primary function within the Board would be to ensure the realization of project results from the perspective of project beneficiaries. This role would rest with the institution that represents the facilities supported by the project.

41. Other significant roles and responsibilities in project implementation at national level included:

- The **National Project Manager** that would be responsible for coordinating all activities to achieve the objectives, outcomes and outputs set forth in this project. The National Project Manager was expected to report to the International Project Manager and ultimately to the Senior Manager/Advisor within UNITAR based in Geneva.
- **Project Assurance:** The Project Assurance role was to support the Project Board Executive by carrying out objective and independent project oversight and monitoring functions. The Project Assurance role was set to UNDP.

42. The above management arrangements were not implemented as such. At the international level, the Global Project Board structure was not operationalized. It did not hold a first meeting within the first 6 months of the start of full implementation and did not meet at least once every year as planned. Furthermore, the management arrangements were not reflected in the national project documents / ToR and were not implemented as such. The TOR attached to the Letters of Agreement signed between UNITAR and the National Project Counterparts included a different governance structure by which NPCs were expected to establish a national project office managed by a National Project Coordinator to provide overall project coordination with a project assistant. The NPCs were then expected to set up a National decision-making structure on mercury (Mercury Coordination/Consultation Mechanism) to serve as an inter-ministerial steering group to provide inter alia overall guidance and coordination for the implementation of project activities.

## 4.2. Project Implementation

43. This section presents the main adjustments brought to the project during its implementation.

### 4.2.1. Adaptive management

44. Adaptive management, understood as changes to the project design and project outputs, was not significantly exercised. As introduced earlier, a key adjustment operated by the project was to extend its duration. Several constraints led to adapt/mitigate the project plan, such as:

- Political changes in Mozambique and instability in Guinea Bissau<sup>14</sup> subsequent ministerial reorganizations, leading the project to start later than expected in those countries and therefore requiring to be extended.
- Administrative constraints in Bangladesh, preventing UNITAR from transferring project funds to the national partner and leading the project to start later than expected and therefore to be extended. This situation was unlocked after a visit of the UNITAR International Project Manager to the country.

45. Other activities that involved making adjustments in the design or outputs of the project include the limited number of countries that attended the global inception event in Bangkok (Guinea Bissau and Mozambique), leading UNITAR to adapt the delivery of national trainings, and the evolving template of the MIA report that required providing support to some countries to adjust their project outputs.

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<sup>14</sup> By the end of 2016, the country had had five Prime Ministers in about a year.

#### 4.2.2. Partnership arrangements

Project partnership arrangements had two different components, (i) arrangements with the implementing/executing partners, and (ii) arrangements with local and national partners. Partnerships with other UN agencies -e.g. UNEP, UNIDO- was not emphasized in the project document and seem to have remained very limited. Local and national government stakeholders were supportive of the objectives of the project. Through the MCC, stakeholders took an active role in project decision-making to support project implementation. Participation and public awareness contributed to the progress towards achievement of project objectives under project outcome 1.3. Informants reported interest of stakeholders in the project's long-term success and sustainability. Interaction between local and national stakeholders was referred as comparable to what was planned in the project document, except for lower interaction with UNDP COs.

#### 4.2.3. Feedback from M&E activities used for adaptive management

46. The M&E activities that were implemented provided feedback in the planned way and helped in refining project operations, but this was not a key feature of the project.

#### 4.2.4. Project Finance

47. The Endorsement Letters signed in 2014 between UNDP and the national counterparts to agree the preparation of a project proposal presented a request of US\$200,000 per country for the project (plus US\$10,000 for Agency fees for project cycle management services associated with the total GEF grant). The GEF was the only source of financing according to the project document, with the provision of a grant of US\$1 million (plus US\$95,000 for agency fees). The Letters of Agreement signed later on between UNITAR and the national counterparts indicate that project countries would receive US\$85,000 for national level implementation. Accordingly, US\$575,000 were committed to financing project activities organized at the international level (e.g. global training, global inception workshop, national inception workshops and trainings delivered by international consultants, technical and advisory support, tools and methodologies, etc.) and US\$425,000 for project activities implemented by national partners (national consultants, awareness raising campaigns, inventory activities, etc.). The project was implemented without budget revision. The project document lacked sufficient details to assess if the budget lines for International Consultants (Atlas code 70200) would refer to International Consultants positions in countries, or outside, or both.

48. The PCA indicated that UNDP would allocate a first installment of US\$350,000 to UNITAR within 30 days after the signature of the agreement. There was no evidence of problems with financial transactions between UNDP and UNITAR. The project budget is presented in section 4.3.5 (Efficiency).

**Table 9: Project Co-financing sources. Source: UNITAR, 2019.**

Co-financing (type/source)	UNDP own financing (mill. US\$)		Government (mill. US\$)		Partner Agency (mill. US\$)		Total (mill. US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
Grants	1		0		0			
Loans/Concessions	0		0		0			
• In-kind support	0		0		0			
• Other	0		0		0			
Totals	1		0		0			

49. In terms of the management of financial transactions between UNITAR and national counterparts, the project was confronted with several events:



- **Bangladesh:** A number of issues were faced by the Government in opening the Bank Account for the transfer of the Project’s funds. The bank account was opened in the Central Bank. In addition, the country needed to open a second account in a local branch of a commercial bank for monetary transactions. However, due to the limitation of the software in the local branch, it was not possible to give the long project name as given in the Central Bank. The country requested to change the account’s name to “Minamata Initial Assessment Project”. The issue was solved in December 2017. A first instalment of US\$45,000 was paid and a balance of US\$40,000 remained to be paid as of April 2019.
- **Guinea Bissau:** UNITAR made the first instalment, but the wrong bank account information was indicated in the Agreement and the first Amendment, which led to a second Amendment signed on 3 February 2017. The second and last instalment was also made by UNITAR and confirmed as received by the partner.
- **Mauritania:** The Letter of Agreement with the Ministry of Environment and Sustainable Development of Mauritania was signed on 25 April 2016. The first and second instalments have been made by UNITAR and confirmed as received by the Partner.
- **Mozambique:** The Letter of Agreement with the Ministry of Land, Environment and Rural Development of Mozambique was signed on 4 May 2017. The first instalment was made by UNITAR on 23 May 2017. However, for several months the country communicated that they could not obtain information on the transfer of funds; UNDP New York, which provides financial services to UNITAR sent a letter with all the bank information of the transaction; after several exchanges with the country, on 9 October 2017 the country’s focal point confirmed the receipt of funds of the first instalment (US\$45,000). By the end of project in June 2019, a balance of US\$40,000 remained to be paid.
- **Samoa:** The agreement was signed on 3 May 2016. The first instalment was received by Samoa. On 23 November 2017 UNITAR sent an extension letter to the country, in order to extend the Agreement’s validity, which expired on 24 August 2017, and agree on new deadlines for the deliverables. The second instalment was received by the Ministry of Natural resources and Environment of Samoa in 2018 and a Final Financial Statement delivered to UNITAR.

#### 4.2.5. Monitoring and evaluation: design at entry and implementation

50. Several mechanisms were designed to monitor project execution and to identify any required adjustments. Project monitoring activities that were planned are presented in the following table 10:

**Table 10: Project monitoring activities**

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
UNDP Corporate Project QA Monitoring	UNDP Project Coordinator (HQ)/	None	Continuous
One (1) Inception Workshop organized at International Level and potentially five (5) smaller workshops organized at national	Project Manager UNITAR	Indicative cost <sup>15</sup> : 17,500 US\$	Within first two months of project start up.

<sup>15</sup> Not including travel costs for participants that are attending the international inception workshop – travel costs have been budgeted separately under travel (see Section III – Budget)

Type of M&E activity	Responsible Parties	Budget US\$ <i>Excluding project team staff time</i>	Time frame
level (including workshop reports)			
Measurement of Means of Verification of project results.	UNDP Project Coordinator (HQ)/UNITAR Project Coordinator (HQ)/UNITAR Project Manager will oversee the hiring of experts, consultants, specific studies and institutions, and delegate responsibilities to relevant team members.	To be finalized in Inception Phase and Workshop.	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	Oversight by Project Manager International Project Team	To be determined as part of the Annual Work Plan's preparation.	Annually prior to ARR/PIR and to the definition of annual work plans.
ARR/PIR	Project manager and team UNITAR HQ Quality assurance by UNDP HQ	None	Annually
Periodic status/ progress reports	Project manager and team UNITAR Project Coordinator (HQ)	None	Quarterly
Mid-Term Review	<i>Lead:</i> UNITAR Project Coordinator (HQ) Project manager and team External Consultants (i.e. evaluation team) UNDP Project Coordinator (HQ)	Indicative cost <sup>16</sup> : 40,000 US\$	Half-way through the project
Project Terminal Report	Project manager and team UNITAR Project Coordinator (HQ) Quality assurance by UNDP HQ	0 US\$	At least three months before the end of the project <sup>17</sup> .
Audit	UNITAR Project manager and team	25,000 US\$	Once for each country
Visits to field sites	National Consultants Project Manager and Team	For GEF supported projects, paid from IA fees and operational budget.	Yearly <sup>18</sup>
TOTAL indicative Cost, excluding project team staff time and UNDP staff and travel expenses		93,000 US\$	

51. Monitoring activities were not planned per the project document but found lacking by the evaluation with regards to the systematic assessment of learning needs and outcomes. UNITAR's Monitoring and Evaluation Policy Framework<sup>19</sup> requires obtaining beneficiary reaction for all project learning events and to evaluate learning outcomes (e.g. strengthened knowledge or skills) for all project training events of two days or more in duration. Little information was collected on the knowledge gaps

<sup>16</sup> Including costs for travel (25,000 US\$) and daily fees (15,000 US\$) for the International independent evaluator.

<sup>17</sup> A brief narrative report was presented during the closing workshop in Istanbul, but it did not include financial data. The project's final narrative and financial reports were only due for submission on 31 August 2019.

<sup>18</sup> Can be combined with international meetings

<sup>19</sup> UNITAR. 2017. *Monitoring and Evaluation Policy Framework*. Geneva.

and needs of learners, for example through a survey questionnaire sent to participants before a training event. Similarly, no evidence was found of measuring the short- and medium-term outcomes of the training programmes<sup>20</sup>. This information could have proved useful to adapt the design and content of training events over time. But such surveys were not specified in the TOR of the UNITAR technical experts who delivered the trainings. A periodic assessment of knowledge gaps at national level covering evolving cohorts of project beneficiaries could have led also to deliver and tailor additional training interventions.

**Based on the above-mentioned findings, the M&E design at project start up is rated as Moderately Satisfactory (MS).**

52. Over the course of the project, the following monitoring activities were executed:

- Global Inception Workshop organized in Bangkok. All countries were invited but only two countries were able to participate (Mozambique and Guinea Bissau);
- Five workshops organized at the national level to launch the project and build ownership for the project results and to plan the first year's annual work plan;
- Annual Project Review / Project Implementation Reports, developed for the periods 2015 to March 2016, April 2016 to January 2017, February to November 2017, and a project overview report prepared in March 2019;
- Additionally, non-training site visits in Guinea Bissau and Bangladesh conducted to provide technical guidance and support, and to assess project progress; and
- Continuous (less formal) reporting and communications between UNITAR and UNDP to provide updates on the project.

53. Some modalities envisioned for project monitoring were not implemented. Per the project document, this covers:

- Quarterly status/ progress reports developed by the Project manager and team and UNITAR Project Coordinator (HQ);
- The financial audits considered in each project country; and
- A Mid-Term Review, which was referred as optional in the project document, but could have helped to determine the progress being made toward the achievement of the project outcomes and to identify course correction as needed.

**Based on the above-mentioned findings, implementation of the M&E plan is rated as Moderately Satisfactory (MS).**

**Overall monitoring and evaluation: design at entry and implementation is rated as Moderately Satisfactory (MS).**

#### **4.2.6. UNDP and UNITAR implementation / execution coordination, and operational issues**

54. As Implementing Agency, UNDP was set to provide overall oversight for project implementation. According to the project document, UNDP was also assigned project assurance and tasked to ensure that appropriate project management milestones were managed and completed. At national level, the UNDP Country Office or the UNDP Regional Technical Advisor (RTA) part of the Montreal Protocol/Chemicals Unit based in New York were expected to be part of the National Project Board. The Inception Workshop in each country was to be the avenue to detail the roles, support services and complementary responsibilities of UNDP CO and RCU staff vis à vis the project team. UNDP CO and the UNDP-GEF RCU were also tasked to conduct visits to project sites based on the agreed schedule in the

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<sup>20</sup> Immediate beneficiary reactions were collected after the training in Samoa and after the final workshop in Istanbul.

project's Inception Report/Annual Work Plan to assess first-hand project progress. Adding to the project document, the Project Cooperation Agreement (PCA) mentioned also that the UNDP Resident Representative acted as the principal channel for communicating with the Government coordinating authority regarding the activities under the PCA unless otherwise agreed with the Parties and the Government.

55. These arrangements were not conveyed in the Letters of Agreement and TOR signed between UNITAR and the national partners. The reports from the national inception workshops made some but little reference to the technical support of UNDP, and do not state any role vis-a-vis overall project oversight, project assurance and monitoring, or communication channel with the Government. According to evaluation informants, the contribution of UNDP to project implementation at country level was rather limited. In the case of Guinea Bissau, the UNDP Representative was very engaged and participated in the initial activities. However, there was a change over the course of the project that lessened the level of involvement. Altogether, UNDP CO's capacities for programming and operations were found to be underutilized and a missed opportunity to facilitate or accelerate project execution. At the international level, support from the RTA was found to be adequate with participation in periodic project management and reporting meetings, but limited when it came to triggering the involvement of UNDP COs in the project.

56. While the project was being designed, UNDP Country Offices had very early on indicated limited capacity, which is why UNITAR was selected as the executing agency for these five countries' MIAs. In addition, despite several reminders from UNDP, the initial UNITAR international project managers did not systematically include the UNDP-GEF RTA and UNDP COs on communications which contributed to the situation described above. Especially in the initial stages of the project, there was also a lack of proper communication between UNITAR and UNDP and despite many requests for formal progress reports, they were not provided on a timely or regular basis. This was compensated by informal project progress updates which UNDP requested.

**Based on the above-mentioned findings, UNDP implementation is rated as Moderately Satisfactory (MS).**

57. Per the project document, UNITAR served as the Executing Agency for the project. This role assumed the responsibility for the implementation of the project, including that the project remained focused on its objectives and delivered outputs contributing to higher-level outcomes. On a day-to-day basis, the authority to run the project was assigned to the International Project Manager (PM) supervised by UNITAR. The International Project Manager's prime responsibility was to ensure that the project would produce the results specified in the project document, to the required standard of quality and within the specified constraints of time and cost. According to the project document, a National Project Manager would be responsible for coordinating all country activities and achieving the objectives, outcomes and outputs set forth in the project. The National Project Manager function was expected to report to the International Project Manager and ultimately to the Senior Manager/Advisor within UNITAR based in Geneva. However, this setup was not realized as planned since the National Project Managers were either civil servants or national consultants without direct reporting to the International Project Manager. While this modality brought benefits to the project -confer section on Ownership-, this somewhat diluted the capacity of some incumbents to focus entirely on project implementation. Furthermore, this has slightly translated some of the functions of the Executing Agency to the national partners. On another note, from the start of the project till 2017, four International Project Managers were successively recruited by UNITAR before leaving their position. Despite a transition period for each new Project Manager on board where the previous Project Manager briefed the next one, the turnover implied a learning curve for each new incumbent, which contributed to slowing down project execution according to country partners.<sup>21</sup> Furthermore, deliverables from activities conducted during this period were only partially captured by UNITAR. Concerns were also

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<sup>21</sup> It was also noted that there were rotations amongst national officers over the course of the project.

raised by country partners and the project team about the delivery and performance of some early International Project Managers that required UNITAR’s mercury portfolio manager to step in and provide direct support to the project. An additional issue to be noted on project execution regards the delays taken to initiate activities, with close to two years between the start of the project and the engagement of Bangladesh and Mozambique per the LoAs. Staging project implementation as a result of both internal and external factors diminished the added value and economies of scale of a global approach.

**Based on the above-mentioned findings, UNITAR execution is rated as Moderately Satisfactory (MS).**

**The overall quality of project implementation / execution is rated as Moderately Satisfactory (MS).**

### 4.3. Project Results

58. An overview of the project results and implementation milestones is provided in table 11 below.

**Table 11: Project results and implementation milestones**

Project and Minamata Convention’s Related Milestones	Bangladesh	Guinea Bissau	Mauritania	Mozambique	Samoa
<b>Signature of Minamata Convention</b>	October 2013	September 2014	October 2013	October 2013	October 2013
Signature of Global MIA Project Agreement (UNDP-UNITAR)	<b>September 2015</b>				
<b>Signature of National Project Agreements (UNITAR/Country)</b>	June 2017	April 2016	April 2016	May 2017	June 2016
<b>TRAINING PROVIDED BY UNITAR</b>					
<b>Global MIA Training (Barcelona)</b>	July 2016				
<b>Regional Inception Workshop (Bangkok)</b>	-	July 2016	-	July 2016	-
<b>Inventory training at the national level</b>	July 2018	April 2017	April 2017	May 2018	February 2017
<b>Legal and Communication training at the national level</b>				May 2018	
<b>MIA development training</b>	March 2018				April 2018
<b>National Inception Workshop</b>	<b>July 2018</b>	<b>April 2017</b>	<b>November 2016</b>	<b>May 2018</b>	<b>February 2017</b>
Engagement National Project Coordinator <sup>22</sup>	June 2017	April 2016	April 2016	May 2017	February 2017
Engagement national consultants (Mercury expert, etc.)	June 2018	April 2017	January 2017 <sup>23</sup>	May 2018	February 2017
Mercury Coordination Committee (MCC) established	August 2018	April 2017	August 2016	May 2018	February 2017
Mercury Inventory and Identification of Emissions and Releases report (Chapter II of the MIA)	November 2018	February 2018	October 2017	May 2019	November 2017
Policy, Regulatory and Institutional Framework Assessment (Chapter III of the MIA)	September 2018	December 2018	June 2017	April 2019	March 2017
Identification of Populations at Risks and Gender Dimensions (Chapter IV of the MIA)	November 2018	June 2018	January 2017	March 2019	January 2018
Awareness raising plan; report on the awareness raising activity/activities	November 2018	March 2018	June 2018*	March 2019	June 2018

<sup>22</sup> Except for Bangladesh that hired an additional person for this role for a short period, the National Project Coordinator was the project focal point and was in charge before the signature of the Agreement. Therefore, for all projects the project coordinator was in charge as of the signature of the Agreement.

<sup>23</sup> Consultants for Mercury Inventory and for Policy, Regulatory and Institutional Framework Assessment recruited in January 2017. Consultants for Environmental impact and for Socio-economic assessment of the impact of the mercury use or releases for one priority sector recruited in November 2017. Consultant for MIA report recruited in January 2018.

\* No individual report was submitted for this chapter as its content was directly included/developed when drafting the final MIA report.

targeting population groups at risk (Chapter V of the MIA)					
Socio-economic assessment of the impact of the mercury use or releases for one priority sector (Complementary)	November 2018	June 2018	January 2017	March 2019	January 2018
Implementation Plan and Priorities for Action report (Chapter VI of the MIA)	December 2018	September 2018	June 2018*	Not developed yet*	April 2018
Mainstreaming of Mercury Priorities (Chapter VII of the MIA)	December 2018	June 2018	June 2018*	Not developed yet*	January 2018
<b>National MIA Report (final draft) delivered to UNITAR</b>	<b>March 2019</b>	<b>September 2018</b>	<b>February 2019</b>	<b>Not developed yet<sup>24</sup></b>	<b>May 2018</b>
Lessons-learned report	Informed global report-Istanbul March 2019	Informed global report-Istanbul March 2019	Informed global report-Istanbul March 2019	Informed global report-Istanbul March 2019	December 2018
<b>Ratification of the Minamata Convention</b>		<b>October 2018</b>	<b>August 2015</b>		<b>September 2015</b>
Closing Workshop (Istanbul)	March 2019				

#### 4.3.1. Overall results

59. The overall project results according to the results framework are presented in table 12. At the closure of the project at the end of June 2019, four out of five countries had delivered the final draft National MIA Report to UNITAR. Since the signature of the Minamata Convention by the five project countries in September/October 2014, three countries had ratified the Convention, with two of them having proceeded to ratification prior to the development of the national MIA report.

<sup>24</sup> As of the end of the project (30 June 2019), the MIA report was still in draft version.

**Table 12: Project results according to the results framework**

Objective of the Project: Undertake a Mercury Initial Assessment (MIA) to enable the Governments of Bangladesh, Guinea-Bissau, Mauritania, Mozambique and Samoa to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention			
Component 1: Establishment of enabling environment for decision-making on the ratification of the Minamata Convention			
Outcome/Output	Indicator	End of Project target	End of Project Achievement
<p><b>Outcome 1.1:</b> National Coordination/Consultation Mechanism on Mercury operational.</p> <p><b>Output 1.1:</b> National Coordination/Consultation Mechanism on Mercury established.</p>	<ul style="list-style-type: none"> <li>• Awareness on Mercury issues created among all project stakeholders.</li> <li>• One regional and five national Inception Workshops organized.</li> <li>• National Coordination/Consultation Mechanism on Mercury established.</li> </ul>	<ul style="list-style-type: none"> <li>• One regional inception workshop/GPB meeting organized.</li> <li>• National Project Inception Workshops organized in each of the project countries.</li> <li>• National Coordination/Consultation Mechanism on Mercury, which is authorized to take decisions on Mercury, meets at least once every 6 months.</li> </ul>	<ul style="list-style-type: none"> <li>• One regional workshop organized (2 out of 5 countries participated).</li> <li>• National Project Inception Workshops organized in each of the project countries.</li> <li>• National MCCs established (or mainstreamed in existing structures).</li> </ul>
<p><b>Outcome 1.2:</b> Policy and regulatory framework, and institutional and capacity needs in regard to the implementation of Convention provisions assessed.</p> <p><b>Output 1.2:</b> Assessment report prepared on the existing and required policy and regulatory framework as well as institutional capacity to implement the Convention (<i>incl. overview of existing barriers</i>).</p>	<ul style="list-style-type: none"> <li>• Assessment Report finalized.</li> </ul>	<ul style="list-style-type: none"> <li>• Institutional capacities, and the policy and regulatory framework in place to management of Mercury, assessed, gaps and needs identified.</li> <li>• Barriers that would hinder implementation of the Convention identified.</li> <li>• Assessment reviewed and discussed by Mercury Focus Group.</li> </ul>	<ul style="list-style-type: none"> <li>• Institutional capacities, and the policy and regulatory framework assessed, and needs identified for 4 countries (drafted for 1).</li> <li>• Barriers that would hinder implementation of the Convention identified for 4 countries (drafted for 1).</li> <li>• Assessment reviewed and discussed by Mercury Focus Group for 4 countries.</li> </ul>

<p><b>Outcome 1.3:</b> Awareness raised on the environmental and health impacts of Mercury.</p> <p><b>Output 1.3:</b> Hg awareness raising activities conducted targeting decision makers and population groups at risk.</p>	<ul style="list-style-type: none"> <li>• Awareness on the health effects of Mercury increased among decision makers, the general public and population groups at risk.</li> </ul>	<ul style="list-style-type: none"> <li>• National Assessment on health and environmental impacts of Mercury concluded.</li> <li>• Population groups at risk identified.</li> <li>• Awareness raising plan finalized.</li> <li>• Public awareness raising campaign organized on the health and environmental effects of Mercury and how to manage Hg containing wastes properly.</li> <li>• Awareness raised among decisions makers and population groups at risk.</li> <li>• Preventive programmes on occupational exposure implemented.</li> </ul>	<ul style="list-style-type: none"> <li>• National Assessment on health and environmental impacts of Mercury concluded for 4 countries.</li> <li>• Population groups at risk identified in 4 countries.</li> <li>• Awareness raising plans finalized in 4 countries (drafted for 1).</li> <li>• Public awareness raising campaigns organized on the health and environmental effects of Mercury and how to manage Hg containing wastes properly in 4 countries.</li> <li>• Awareness raised among decisions makers and population groups at risk in 4 countries.</li> <li>• Preventive (awareness raising) programmes on occupational exposure implemented in 4 countries.</li> </ul>
<p><b>Outcome 1.4:</b> Project countries equipped and prepared for the mainstreaming of national Mercury Priorities</p> <p><b>Output 1.4:</b> Socio-economic studies on Mercury priorities completed; Awareness of decision makers raised; Mainstreaming road maps developed</p>	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in each project country.</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for each project country.</li> <li>• Sample text for mainstreaming prepared for each country.</li> </ul>	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in each project country.</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for each project country.</li> <li>• Sample text for mainstreaming prepared for each country.</li> </ul>	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in 4 project countries.</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for 4 project countries.</li> <li>• Sample text for mainstreaming prepared for 4 countries.</li> </ul>

**Component 2: Development of National Mercury Profile and Mercury Initial Assessment Report**

Outcome/Output	Indicator	End of Project target	End of Project Achievement
<p><b>Outcome 2.1:</b> National capacity built to undertake Mercury inventories.</p> <p><b>Output 2.1:</b> Capacity building and training conducted to commence the Mercury inventory.</p>	<ul style="list-style-type: none"> <li>• 5 teams of national experts trained on conducting Mercury Inventories (at regional level)</li> <li>• National technical experts (consultants and Mercury Focus Group members) trained on data collection methodologies, reliability, credibility and data analysis.</li> </ul>	<ul style="list-style-type: none"> <li>• National technical experts trained to be able to undertake the Mercury Inventory.</li> <li>• National Mercury Coordination/Consultation Mechanism members trained to be able to review the Hg Inventory.</li> </ul>	<ul style="list-style-type: none"> <li>• National technical experts trained to be able to undertake the Mercury Inventory.</li> <li>• National Mercury Coordination/Consultation Mechanism members trained to be able to review the Hg Inventory.</li> </ul>



<p><b>Outcome 2.2:</b> National Mercury Profile available.</p> <p><b>Output 2.2:</b> Mercury Inventory conducted and sector description by usage of Mercury developed</p> <p>Mercury Inventory conducted and sector description by usage of Mercury developed</p>	<ul style="list-style-type: none"> <li>• Mercury profile finalized</li> </ul>	<ul style="list-style-type: none"> <li>• Methodology and work programme on how to conduct the inventory submitted and approved by the project board.</li> <li>• Mercury Inventory (Level 2) completed, incl.: <ul style="list-style-type: none"> <li>- Overview of emission and releases sources</li> <li>- Inventory of wastes (stockpiles and generation rates)</li> <li>- Assessment of current practices to manage Hg</li> <li>- Identification of main risk groups</li> </ul> </li> <li>• Recommendations for improved Hg management prepared.</li> <li>• National Mercury Profile finalized.</li> </ul>	<ul style="list-style-type: none"> <li>• Methodology and work programme on how to conduct the inventory submitted and approved.</li> <li>• Mercury Inventory (Level 2) completed for 1 country, and (Level 1) for 3 countries, but referred outdated for 1 country, incl.: <ul style="list-style-type: none"> <li>- Overview of emission and releases sources</li> <li>- Inventory of wastes (stockpiles and generation rates)</li> <li>- Assessment of current practices to manage Hg</li> <li>- Identification of main risk groups</li> </ul> </li> <li>• Recommendations for improved Hg management prepared for 4 countries.</li> <li>• National Mercury Profile finalized for 4 countries.</li> </ul>
<p><b>Outcome 2.3:</b> National MIA Report available.</p> <p><b>Output 2.3:</b> National MIA Report for the ratification and implementation of the Convention prepared (including proposed policy/regulatory interventions, inst. Cap. Building and required investment plans).</p>	<ul style="list-style-type: none"> <li>• National MIA Report finalized. Regional/National reporting/validation workshops organized to approve/adopt the project's outputs (Inventory, Mercury Profile, MIA Report, Mainstreaming Roadmap).</li> </ul>	<ul style="list-style-type: none"> <li>• MIA Report prepared, containing: <ul style="list-style-type: none"> <li>- Institutional structures available to implement the Convention.</li> <li>- Barriers for implementation of the Convention.</li> <li>- Summary of Mercury Profile.</li> <li>- Identification of technical and financial needs for implementation of the Convention.</li> <li>- Inventory of wastes (stockpiles and generation rates)</li> <li>- Proposal for action.</li> <li>- Recommendations for policy and regulatory revisions.</li> </ul> </li> <li>• Lessons-Learned Report prepared.</li> <li>• MIA Report reviewed, approved and adopted.</li> <li>• One regional, or five national reporting/validation workshops will be organized to approve/adopt the projects outputs, among else the Inventory report, Mercury Profile, MIA Report and Mainstreaming Roadmap.</li> </ul>	<ul style="list-style-type: none"> <li>• MIA Report prepared for 4 countries, containing: <ul style="list-style-type: none"> <li>- Institutional structures available to implement the Convention.</li> <li>- Barriers for implementation of the Convention.</li> <li>- Summary of Mercury Profile.</li> <li>- Identification of technical and financial needs for implementation of the Convention.</li> <li>- Inventory of wastes (stockpiles and generation rates)</li> <li>- Proposal for action.</li> <li>- Recommendations for policy and regulatory revisions.</li> </ul> </li> <li>• Lessons-Learned Report prepared for 1 country.</li> <li>• MIA Report reviewed, approved and adopted for 1 country, finalized and being formatted for 2 countries, at final revision stage for 1 country, and at early development stage for 1 country.</li> <li>• One regional reporting/validation workshop organized in March 2019 to help finalizing the projects outputs, among else the Inventory report, Mercury Profile, MIA Report and Mainstreaming Roadmap.</li> </ul>

**The overall results of the Global MIA Projects are rated as Moderately Satisfactory (MS).**

#### 4.3.2. Relevance

60. The project has benefited from a strong anchor in the international development agenda and frameworks. The project is aligned with a number of Multilateral Environmental Agreements (MEAs), which have been drawn up to protect humans and the environment from the harmful effects caused by the use or misuse of toxic and hazardous chemicals, including the Stockholm Convention on Persistent Organic Pollutants (POPs)<sup>25</sup>, the Rotterdam Convention on the Prior Informed Consent Procedure<sup>26</sup>, the Basel Convention on the Transboundary Movements of Hazardous Wastes and their Disposal<sup>27</sup>. The UNGA Rio+20 Conference outcome document, *The Future We Want*<sup>28</sup>, recognized also that “*sound management of chemicals is crucial for the protection of human health and the environment*” and welcomed “*the ongoing negotiating process on a global legally binding instrument on mercury to address the risks to human health and the environment*”. Furthermore, the project proved relevant to contribute implementing the Agenda 2030. In Bangladesh, the MIA report acknowledged that one of the key sectors in speeding up the progress towards achievement of the SDGs is sound management of waste. In Mauritania, the MIA has been linked to the SDGs 1, 6, 12 and 15. In Samoa, the MIA report formulates an action plan that links the proposed actions to the SDGs 3, 4, 5, 6, 7, 10, 11, 12, 14, 15, 16, and 17. In Guinea Bissau, the National Project Coordinator was also responsible for the achievements of the SDGs. Working with UNDP, the country has aligned the national operational strategic plan 2015-2025 with the SDGs and the 2063 Agenda: The Africa We Want, and other agendas e.g. SIDS, New Deal, etc.. All development projects, including those related to the Minamata Convention, are aligned with the national operational strategic plan and contribute to the SDGs.

61. In terms of international agreements, the Minamata Convention signed by the five project countries in 2014 evidently makes the project highly relevant. Article 19 of the Convention for instance states that “*Parties shall endeavour to cooperate to develop and improve, taking into account their respective circumstances and capabilities, (a) inventories of use, consumption, and anthropogenic emissions to air and releases to water and land of mercury and mercury compounds*”. Article 20 of the Convention further indicates that “*Each Party may, following an initial assessment, develop and execute an implementation plan, taking into account its domestic circumstances, for meeting the obligations under this Convention.*”<sup>29</sup>

62. Furthermore, from the onset the national contexts in the five countries offered a solid justification to the development and implementation of the project. The status prevailing in these countries in 2015 was mostly a low level of knowledge about mercury use and little if any prior mercury management:

- **Bangladesh:** Mercury pollution and its hazards had not yet been addressed in the country. Mercury was imported but the country did not dispose of specific data and information on Mercury import, the import of mercury containing products, the use of mercury in various industrial process or important releases sources of mercury. An assessment of mercury sources and hotspots in Bangladesh had been conducted in 2012 but many aspects of mercury management in the country were still unknown.

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<sup>25</sup> Ratified by Bangladesh, Guinea Bissau, Mauritania, Mozambique, Samoa

<sup>26</sup> Ratified by Guinea Bissau, Mauritania, Mozambique, Samoa

<sup>27</sup> Ratified by Bangladesh, Guinea Bissau, Mauritania, Mozambique, Samoa

<sup>28</sup> <https://sustainabledevelopment.un.org/futurewewant.html>

<sup>29</sup> <http://www.mercuryconvention.org/Portals/11/documents/Booklets/COP1%20version/Minamata-Convention-booklet-eng-full.pdf>

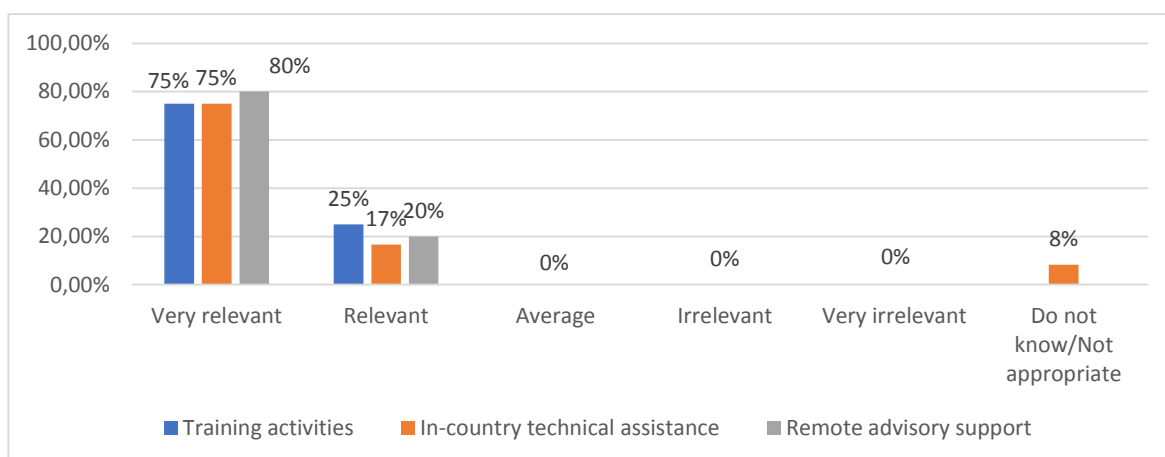
- **Guinea Bissau:** Products containing mercury used in the country were all imported. Awareness on the toxicity of mercury was almost non-existent. The country had no policy or law in place, which regulated the use, release or production of hazardous chemicals. As a result, enforcement entities were unable to monitor and control their use, release or production, including mercury. Exploitation of bauxite mines in the country and burning of waste were likely but unassessed sources of mercury emissions.
- **Mauritania:** Mercury pollution and its hazards had not been addressed in the country. Little data and information on the import and use of mercury in various industrial process and consumer products were available. A National Chemicals Profile (NCP) was produced in 2012, but no specific activities related to mercury were supported.
- **Mozambique:** The country had been participating actively on international discussions reiterating the need to take strong action on mercury contamination since 2010. ASGM seemed one of the major sources of mercury contamination in the country and the Government had initiated a project to support the development of a specific National Action Plan on Mercury in the ASGM sector, but there were other release sources of Mercury in the country that were unassessed.
- **Samoa:** All products and chemicals containing Mercury compounds were imported into the country. There were growing concerns about the hazardous nature of Mercury and Mercury compounds from anthropogenic emissions and releases that pose adverse effects on human health and the environment.

63. As a corollary to these baselines that further builds a rationale for the project, the five countries were originally confronted with limited capacities to conduct a MIA. For example, it took more than three months for some countries to find suitable national consultants to undertake project activities.

64. Project relevance was also corroborated by the evaluation survey, with a large majority of respondents indicating that capacity development activities had been strongly relevant to their learning needs and to support their work on the Minamata Convention (Figure 4). About 80 per cent of the survey respondents also indicated that the Global MIA project had been relevant to address their country needs and priorities in strengthening national decision making towards ratification of the Minamata Convention and build capacity towards implementation of future provisions (Annex 3). In addition, evaluation informants stressed that the methodologies, templates, guidelines and tools provided during the training workshops by UNITAR were highly relevant and useful to respond to the knowledge needs of national consultants and facilitate project implementation. As put forward by a national consultant: *“The files provided on a USB drive at the end of the training were especially useful. They formed the basis for all the work that was carried out during the project. The USB drive contained all sorts of documents in English and French. There were templates, examples of reports, videos, pictures, models of letters that could be sent to the different ministries, inventories, this was highly useful”*. The MercuryLearn online course, though not formally part of the project, did not prove entirely relevant in so far as one participant from Bangladesh and three from Mauritania participated in the online training. The scheduling of the course did not coincide most adequately with the phases of project implementation in the five countries<sup>30</sup>.

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<sup>30</sup> An open rolling registration course would not have faced this issue.



**Figure 4: How do you assess the relevance of the training activities, in-country technical assistance, and remote advisory support provided by UNITAR and UNDP?**

Source: Survey, 2019

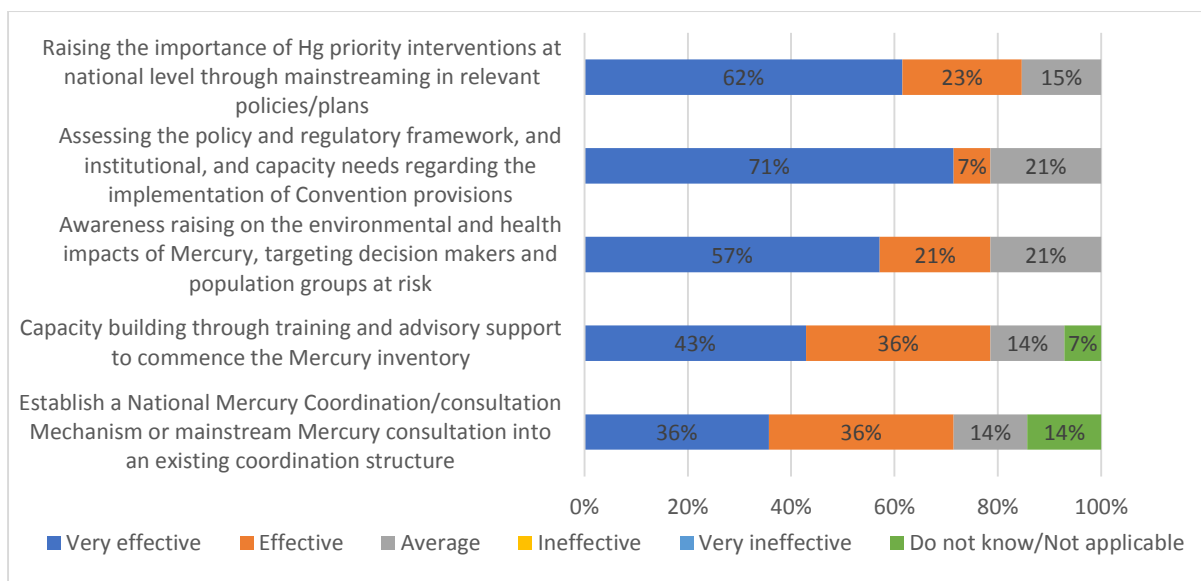
65. The project aimed also to be relevant for advancing gender equality, the empowerment of women and meeting the needs of other groups made vulnerable. From the onset, the project document recognized that *“Generally, two groups are more sensitive to the effects of mercury. Foetuses and people who are regularly exposed (chronic exposure) to high levels of mercury (such as populations that rely on subsistence fishing or people who are occupationally exposed). As Mercury is passed on from mother to child, and foetuses and children are most susceptible to developmental effects due to mercury. The MIA will pay particular attention to assessing national capacity to keep such risk groups safe. Recommendations on how to improve gender dimensions and gender mainstreaming related to Mercury, and priorities actions in this area will be highlighted in the MIA report”*. On such basis, the MIA reports have dedicated a section identifying the populations at risk and gender dimensions (confer also below section on effectiveness). Some of the vulnerable groups analysed include workers in cement production plants, groups engaging in waste management activities, women exposed to mercury, civil society in general, women and children.

66. National partners conveyed several factors that could have helped to make the project more relevant and better able to address their needs. This includes dedicating more time to the trainings - e.g. on institutional review, advocacy, etc.-, enlarging the number of topics covered by the trainings - e.g. Hg and gender-, increasing resources to reach out to a greater number of local communities -e.g. training at regional level-, and providing the project with ad hoc support from a gender specialist.

**Based on the above-mentioned findings, the Relevance is rated as Relevant (R).**

#### 4.3.3. Effectiveness

67. According to the evaluation survey respondents, the project has been especially effective for assessing the policy and regulatory framework, the institutional and capacity needs regarding the implementation of Convention provisions, and for raising the importance of Hg priority interventions at national level through mainstreaming in relevant policies/plans (Figure 5).



**Figure 5: In your opinion, how effective has the Global MIA Project been in contributing to achieve the following immediate outcomes in your country?**

Source: Survey, 2019

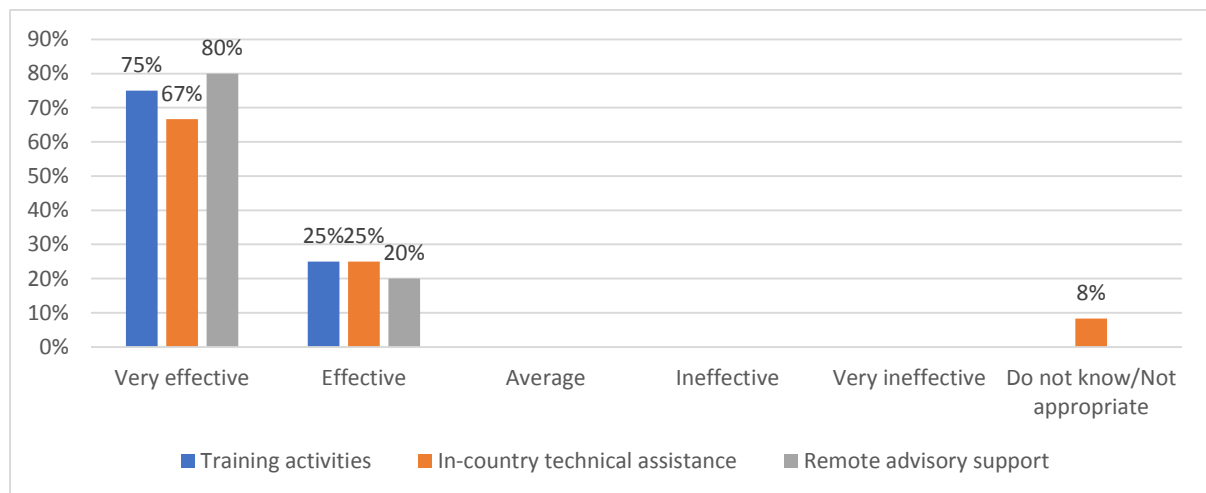
68. The awareness raising component of the project was also found effective in reaching decision makers and communities at risk. The following project achievements can be highlighted:

- Mozambique:** The awareness raising campaigns have consisted in going to the field and meeting community leaders so that they cascade the topic to the population and explain the risks created by mercury. The campaigns reached out to seven or eight districts and up to a dozen localities in total. It involved government representatives and citizens. Sometimes up to 400 people were sensitized over an event, such as by reaching out in local language to merchants, miners and consumers or citizens on markets.
- Mauritania:** Awareness raising campaigns have been conducted on the ground. This has involved meetings with local administrations and with gold miners. Six campaigns were conducted on more than 30 sites altogether, reaching thousands of gold miners. On some gold panning sites, there were up to 20 teams with up to 20 people per team.
- Guinea Bissau:** Extensive outreach, with development and dissemination of posters, flyers, t-shirts and caps. Targets reached by the campaign have included 500 health professionals such as dentists, nurses and doctors. Promotional materials were distributed in 10 hospitals located in the cities of Bissau, Bafata, Gabu and Bolama Bijagós. Approximately 2,200 students at the elementary education level in key regions of the country were alerted about the harmful effects of mercury. A large proportion of the population in the country being illiterate (58 per cent), the project sponsored the creation of a song to alert on the risks of mercury. This song became a national hit and was played on national radios, on community radios, in night clubs, etc.
- Bangladesh:** The social media campaigns conducted for example by ESDO in Bangladesh show that the public response on Facebook generated 191,879 likes and 32,619 shares on Mercury related posts from 1st July 2018 to 29th May 2019. On Twitter, the total number of likes and re-tweet regarding mercury awareness posts were 3,971 and 1,311 respectively. Many of them were viewed approximately more than 500 times and total number of times people interacted with those tweets was recorded approximately 10-15 times. The ESDO has

estimated also that the number of visits to its website over that period included approximately 31,110 visitor's inquiries related to mercury activities and information<sup>31</sup>.

69. Despite these successful initiatives, evaluation informants pointed out that the effectiveness of the awareness raising campaigns had been bound to and limited by financial and staffing capacities. Reaching out to an entire country is resource intensive and was going beyond the scale of the project. In Mozambique for example, sensitization has been conducted in three provinces out of 10 (plus the capital) in the country. In Bangladesh, four regions were targeted among the eight major state divisions. In Mauritania, some gold panning sites concentrated more than 30,000 workers, which could be only partly reached.

70. Altogether, 70 per cent of the survey respondents assessed the project as effective to build their capacity to commence the mercury inventory (Figure 6). When disaggregating responses, evaluation informants rated slightly more positively the technical assistance provided by the international experts either through country visits or remotely, over the training activities (Figure 6). Still, about 85 per cent of the survey respondents who attended a training workshop have applied the knowledge or skills from the training(s) to undertake Mercury inventories (Annex 3). In other words, project countries valued the standardized trainings initially delivered by UNITAR and the tailored assistance that was available during the course of the project to respond to specific queries.



**Figure 6: How do you assess the effectiveness of the training activities, in-country technical assistance, and remote advisory support provided by UNITAR and UNDP?**

Source: Survey, 2019

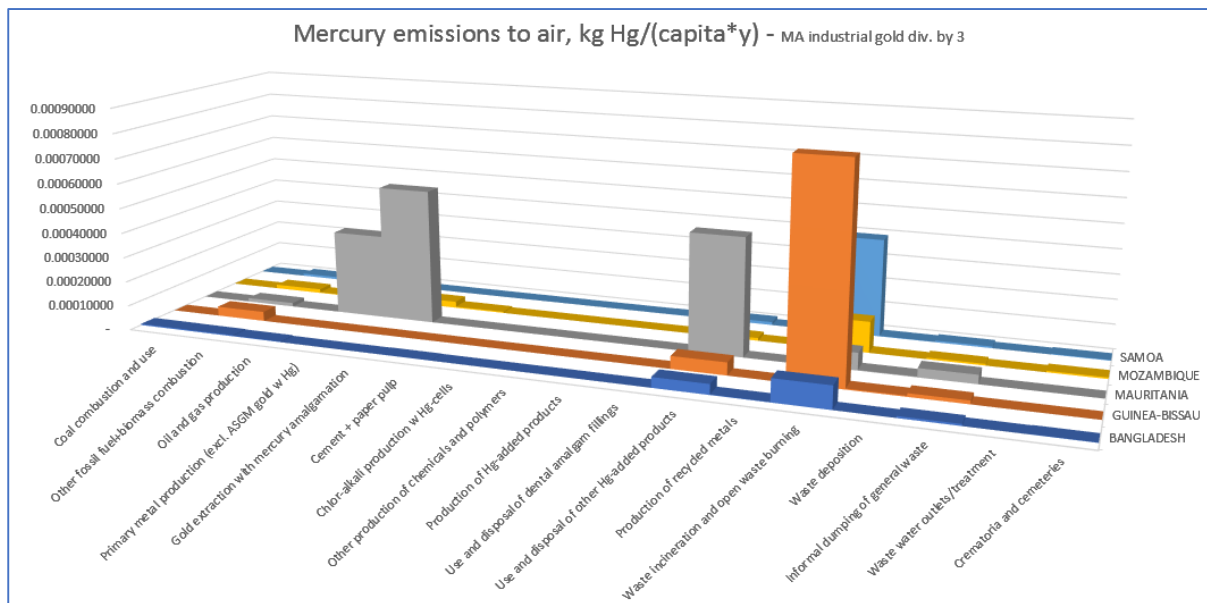
71. The project has contributed to determining the national requirements and needs for the ratification of the Minamata Convention in four out of five project countries, with Mozambique's working on the final draft of the assessment tentatively due in June 2019. The MIA reports developed by the project countries build on the same template and cover the following seven chapters:

1. National Background Information: Throughout the reports, this chapter provides inter alia a social, economic, and environmental overview of the country.
2. Mercury Inventory & Identification of Emissions and Releases in the Country: This chapter reports the findings in terms of the sources and levels of mercury releases, trade, consumption and production, use, etc.
3. Policy, Regulatory and Institutional Framework Assessment: Each report has conducted an analysis of the policies and legal instruments already available in the country and identifies the relevant institutions for the management of chemicals (including mercury).

<sup>31</sup> ESDO. 2019. Report on Public Response in Mercury related posts on Social Media. Bangladesh.

4. Identification of Populations at Risks and Gender Dimensions: This chapter studies various groups at risk, being workers, women, children, the civil society in general, etc.
5. Awareness Raising Plan and Activities: This describes the awareness activities conducted during the project and eventually makes proposals for additional actions.
6. Priority Areas for Implementation: This chapter identifies priority areas of intervention, types of actions, stakeholders, financial requirements, etc.
7. Mainstreaming National Mercury Priorities: The final chapter describes how the action plan framed in Chapter 6 can be incorporated in the national development planning process<sup>32</sup>.

72. The initial assessments show that industrial non-ferrous metal production and ASGM, where present, are the predominant sources of mercury in the five project countries. Other major sources are typically mercury-added products, open waste burning and informal dumping (Figure 7).



**Figure 7: Mercury emissions to air as compiled by the project (results from MZ not yet re-reviewed)**  
Source: UNITAR, March 2019

73. The review and analysis conducted by UNITAR notes that mercury-added products are often underestimated in the assessment due to a lack of data, resulting in underestimating mercury inputs to society, while the lack of data on mercury concentrations in waste and wastewater results in overestimating emissions/releases from waste treatment. This was recognized to lead to some approximations and assumptions, and to the need to accept some uncertainty in the inventories. It should be noted also that Level 1 inventories were carried out in Guinea Bissau, Mauritania, and Samoa, while the global project document and TORs annexed to the LOAs planned for Level 2 inventories. Several reasons were pointed out by UNITAR and corroborated by the evaluation to explain the lack of national data. They include the lack of trust from data owners; the fact that data collection is a time-consuming and resource-intensive process that requires face-to-face meetings, inspections, and measurements; the inexperience of data collectors; and the fact that not all inventory personnel received training.

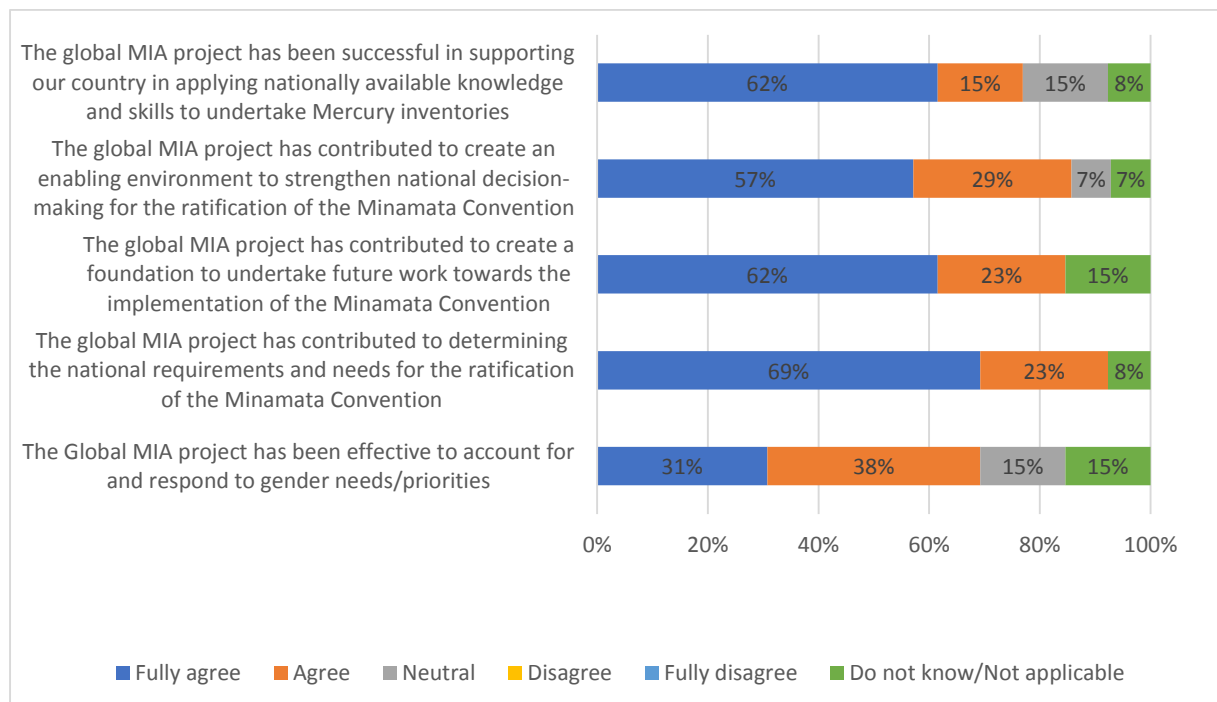
<sup>32</sup> For Samoa, national mainstreaming was covered in chapter 6.

74. According to 88 per cent of the evaluation survey respondents, the project has contributed to create an enabling environment to strengthen national decision-making for the ratification of the Minamata Convention (Figure 8). Two countries (Mauritania and Samoa) had ratified the Convention prior to the signature of the National Project Agreements. As for Guinea Bissau which ratified the Convention in October 2018, country informants reported that the project helped to ratify the Convention in a short timeframe. The project contributed to build national consciousness, not just at the ministerial and presidential levels, but also at the level of the national assembly where the Minamata Convention was presented, ratified, and then addressed to the President of the Republic to be ratified and enacted. The project was reported to be a key enabler for this approval. In 2018, the National Project Coordinator together with the Minister of Environment and Sustainable Development and the President went to New York to deposit four Conventions and international agreements, including the Minamata Convention. In Bangladesh, the studies produced through the project have reportedly increased awareness among decision makers about the sources of mercury and levels of use in the country and the environmental and health consequences of releases. National decision makers have positively considered the ratification of the MC and participate in the COPs of the Convention. The Ministry of Environment, Forest, and Climate Change has been given the responsibility for the ratification and, as of March 2019, was waiting for the final MIA to start the formal ratification process. In Mozambique, the final draft of the MIA and NAP were expected for June 2019 to trigger the submission of the Minamata Convention to the national assembly for its vote and ratification. The National Project Coordinator reported that it would then require three months for the parliament to review and be prepared to discuss the agenda of work, tentatively making the Minamata Convention ratified before end of 2019.



**Picture 1: Awareness-raising session on mercury at the Council of Ministers in Guinea Bissau**

Source: MIA Report for Guinea-Bissau, 2018



**Figure 8: What is your level of agreement with the following statements on the Global MIA project?**

Source: Survey, 2019



75. Several project modalities and activities have contributed to create an environment and decision-making context supportive of the ratification and implementation of the Minamata Convention.

- **National inception workshops:** These initial events proved effective to launch the project in the five countries. The national workshops sensitized participants about mercury pollution and the Minamata Convention and initiated the involvement of the stakeholders in the identification of mercury sources. In Guinea Bissau, 41 participants were present, representing almost all relevant ministries including customs, mining, and industry, as well as non-governmental organizations. In Bangladesh, the inception workshop was attended by 95 participants. In Samoa, the workshop was attended by 20 participants. In Mauritania, the inception workshop was delivered in November 2016. Among others, working groups were formed on the legal review, the national mercury profile and awareness raising. Industry (mining) and civil society (environment NGOs) were actively participating in the conversation. It was decided to establish the national steering committee via appointment by the minister. In Mozambique, a five-day face-to-face training (inventory, communication and legal) was delivered in June 2018.
- **National project management:** The assignment of senior officials as National Project Managers in the five countries in lieu of the originally envisioned UNITAR international consultants is another modality that contributed to creating a supportive environment towards the ratification and implementation of the Convention. From the onset, these officials brought legitimacy, decision-making capacities, visibility, and connections that international consultants could not have offered to the project. UNITAR suggested to National Officers to assign a technical person to deal with the day-to-day communications with national and international partners. Some countries followed this advice.
- **National project governance:** The Mercury Coordination Committee (MCC) has been another factor that has contributed to create a supportive environment. In Bangladesh, the MCC was established by an office order issued by the Department of Environment, Ministry of Environment, Forest and Climate Change. The MCC is headed by the Director General of DOE. It is composed of 16 organizations, such as the Department of Health, the Dental society, National Board of Revenue, Bangladesh Standards and Testing Institute, etc. In Guinea Bissau, the MCC was established through a ministerial decree. The MCC included the Ministry of Environment as the focal point for the MC, the Ministry of Agriculture, the Ministry of Health, the Ministry of Industry, the Ministry of Energy, the Ministry of Fishing, the national association of consumers (ACOBES), and other key national institutions such as the customs, police, etc. The MCC covered the various relevant Conventions for the management of dangerous chemical products and waste (i.e. Stockholm and Basel). In Mauritania, it was decided to establish a national steering committee for the MC via appointment by the minister. In Mozambique, members of the MCC included the Ministry of Mining Resources and Energy, the Ministry of Health, the Ministry of Trade and Industry, customer associations, the police, the Ministry of Education the Ministry of Gender and Social Action, etc.

76. The project has contributed to create a foundation to undertake future work towards the implementation of the Minamata Convention. First, key priorities as identified in the chapter 6 of the MIA reports provide a clear direction and robust foundation to undertake future work towards the implementation of the Convention. Several policy and regulatory instruments were also referred as setting the foundation to undertake future work.

- **Bangladesh:** The country is about to impose a green tax. The main purpose of this tax is to serve as a financial mechanism to phase out CFL light and replace it by LED. Its scope is being updated to include mercury and CFC, which the project helped to create awareness on. The text has been drafted and discussed in ministry studies, but not yet finalized/passed. The

updated green tax is expected to be enforced and implemented in the next financial year, i.e. in 2019-2020.

- **Guinea Bissau:** The implementation of the NAP -developed jointly with the MIA- was initiated and requires now the development of policies, legislative instruments, regulations. Furthermore, the National Strategy for Chemical Products -covering mercury among others- has been finalized and approved. The accompanying law has been technically approved and requires political approval. In addition, the Minamata Convention has been mainstreamed in the National Strategic Health Development Plan, which is to be accepted by the Government.
- **Mauritania:** The institutional, legal, and regulatory frameworks are being strengthened through a project of law and decree aiming to ban or control imports. The texts have been drafted and need to be shared with the various departments before being submitted to the Government and then to the National Assembly in the second semester 2019. The law will entail prior authorization from the Ministry of Environment before importing products that contain mercury, the recording of the quantities and destination, and involve also a small tax that will be used to support the management of mercury wastes.
- **Samoa:** The legislative process is in progress with the aim to ban mercury products as of 2020.

77. An additional enabler to future work comes from the project establishing the first rough baseline for mercury levels in each country. National project counterparts recognized that the accuracy and up-to-datedness of the inventory required further work, not just as a result of the above-mentioned lack of data, but also due to evolving contexts. In Mauritania, for example, there has been a sudden surge of gold panning sites in certain regions of the country while the assessment was being developed, showing to the national counterpart the necessity to update the inventory periodically. Related priority areas for future research identified by UNITAR and the project countries include the improvement of products inventories, measurements of concentrations in industrial gold ores as well as in municipal solid waste, and other non-ferrous metal concentrates, and measurements of mercury mass balances (fates) in same sectors/activities. An additional component that may have been overlooked regards the assessment of learning needs.

78. Another avenue through which the project has contributed to create a foundation to undertake future work is by strengthening national capacities. The project has delivered basic training to key stakeholders in each country and contributed to strengthen national capacities. Altogether, the project has trained 180 stakeholders through three global events and nine national trainings. The evaluation survey shows that 100% of respondents found that the training support provided by UNITAR had been effective (Figure 6). Furthermore, learning by doing was also a clear value added of the project despite not being a component specifically referred in the project document. The knowledge, skills and capacities developed in project countries can be leveraged for future work or related initiatives (and therefore contribute to the sustainability of the project outcomes). For example, one of the national consultants who contributed to the development of the MIA in Samoa and was trained by the project is now working on a national review of POPs.

79. Several factors showed a positive influence on the achievement of the project's objectives. Some of these enablers were reported above, such as organizing **inception workshops**, the delivery of **trainings** and **tools** by UNITAR, setting up **Mercury Coordination Committees**, or conducting **awareness raising campaigns**. In addition, evaluation informants stressed:

- **Political will:** The national policy context has proved to be instrumental to achieve the project objectives. In Mauritania and Samoa for example, the ratification of the Convention was found to create a policy environment conducive to project implementation. Mercury management became a national priority, fostering the engagement of the various ministries

and industrial sectors. Similarly, in Guinea Bissau and Mozambique the policy and institutional contexts presided over the pace of implementation of the project.

- **Leadership:** As a related enabler, senior leadership committed to supporting the MC and/or to coordinating the project was another component that influenced the execution and delivery of the project. In the five project countries, senior level officials -i.e. directors or equivalent- were directly engaged in project oversight and/or coordination. This provided decision making capacity to the project including in practical terms such as approving meetings, field visits, awareness raising campaigns, etc.
- **Exposure:** Another factor that influenced the achievements of the project objectives is the sensitization and direct witnessing by senior officials of the risks of mercury. For example, in Mozambique the former Minister and the NPC went jointly to Japan and were sensitized on the MC and danger of mercury. The NPC also brought the Minister to the field together with the Deputy Minister and the Permanent Secretary, where they could see the problems caused and faced by the ASGM. This direct exposure to the risks of mercury helped to get a strong buy-in for moving the agenda forward.
- **Advisory support:** Another element that was systematically emphasized by evaluation informants is the quality of the support provided both in situ and remotely by UNITAR. The level of expertise, swiftness in responding to requests, and capability to address very specifically the issues that were brought to the international team was put forward as another key factor contributing to the achievement of the project objectives.

80. Conversely, several factors were identified also as having mitigated the achievement of the project's objectives. Some of these factors were mentioned earlier *viz*, **political alternation** and induced institutional reforms, **lack of data** within each of the project countries, **limited national capacities** with no prior experience in conducting such assessments or expertise in mercury management, **language** with the methodologies, guidelines, templates and tools available in English and to a lesser extent in French, but not in other languages (e.g. Portuguese, which is not part of the UN official languages, and for which provided support through the engagement of Portuguese speaking colleagues working directly with Mozambique and Guinea Bissau). A few other issues were conveyed to the evaluation.

- **Financial resources:** The amount of financial resources availed by the project was found limited considering the scope of the assessment. Field visits to monitor mercury use and to conduct awareness raising campaigns had to concentrate on a selected number of priority locations in each country, creating a risk to lower the accuracy of the inventory and to omit relevant groups of people from sensitization, including the most marginalized ones. Furthermore, resources were reported lacking to keep the inventory up to date in case of changing contexts -e.g. gold rush in Mauritania-.
- **Staffing capacity:** As a related constraint, the size of the project teams was found limited compared to the scope of work. Some of the project countries for example do not collect any information on imports of products containing mercury. The Trade ministry, agencies, and customs have no knowledge about the products that contain mercury and no system to record such data. Capacity development needs were substantial both at the individual and organizational levels and could not be properly addressed at the scale of an entire country with a team of four consultants.
- **Trainings:** Several evaluation informants pointed out that the duration of the trainings provided by UNITAR was short (2-day face-to-face in Bissau, Dhaka, and Apia) compared to learning needs. Longer training periods could have served to deepen the topics already covered and add new ones. Furthermore, face-to-face trainings were planned at the start of the project while some participants reported having a need for periodic sessions -e.g. every six months, which was not considered in the original project document. In terms of design,

some informants indicated also that opportunities for knowledge exchange and discussions between participants could have been offered during the trainings. The number of participants to some trainings was also reported limited, not much for the number of direct users than for the secondary actors having a stake in project implementation or contribution to its sustainability. As indicated by an informant *“I think we had little training time and discussions with all the stakeholders involved and with different communities that make up the vast social and cultural fabric of the country could certainly make the project more effective”*.

81. The gender dimension of the project and MIA reports was referred in the global project document<sup>33</sup>. However, this dimension was not specifically taken up and translated into the national project documents/TOR. While the evaluation survey returned moderately favorable opinions on the effectiveness of the project when it comes to accounting for and responding to gender needs/priorities, several evaluation informants indicated that project implementation could have benefited from the short-term support of a gender specialist. Nevertheless, evidence was found of a successful mainstreaming of the gender dimension in the project. In Guinea Bissau for example, the Ministry of Women, Community and Social Development was involved in the preparation of the MIA report. Similarly, in Mozambique, the Ministry of Gender and Social Action was part of the MCC. Furthermore, the template used for the MIA reports featured a chapter on the *Identification of Populations at Risks and Gender Dimensions*. The gender dimension in this chapter was substantially addressed in the MIA reports delivered by Guinea Bissau, Mauritania, and Samoa. Some outreach activities targeting women were referred also by informants. In Guinea Bissau, consultations and sensitisation activities were conducted with women on markets to raise awareness about the danger of mercury in the food chain. In Bangladesh, social media posts showing pictures of pregnant women were disseminated to alert about the danger of mercury for foetuses. It should be noted also that the assessment that women gave to the project has been systematically more positive than the one provided by men (Annex 4).

82. According to the evaluation survey, 77 per cent of the respondents found that the project has supported the partner countries beneficiaries’ in applying their knowledge and skills to undertake mercury inventories. Some but few instances were reported to the evaluation of national project team members not having been able to attend the initial trainings. Altogether, national civil servants, experts and consultants, and organizations were in charge to conduct the inventory, produce the assessments, and deliver project activities such as sensitization and awareness raising speeches and presentations, for example:

- **Bangladesh:** The Department of Environment (DoE) under the Ministry of Environment, Forest and Climate Change (MoEFCC) engaged the Department of Civil Engineering at the Bangladesh University of Engineering and Technology (BUET), to undertake the inventory and assessments. DoE engaged also a national NGO named ESDO with the objective of developing and implementing awareness-raising strategies in order to sensitize decision makers, vulnerable populations and other relevant groups towards the health and environmental risks posed by mercury.
- **Samoa:** The Scientific Research Organization of Samoa (SROS) was engaged in monitoring mercury levels in commercial fish stocks to ensure regulatory compliance for trade purposes. Furthermore, experts of the National University of Samoa (NUS) have conducted the initial mercury inventory used in the MIA report as part of their Programmes of research into various aspects of chemicals and waste impacts on health and the environment. The University of

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<sup>33</sup> As per the global project document: “Gender Dimensions: Generally, two groups are more sensitive to the effects of mercury. Foetuses and people who are regularly exposed (chronic exposure) to high levels of mercury (such as populations that rely on subsistence fishing or people who are occupationally exposed). As Mercury is passed on from mother to child, and foetuses and children are most susceptible to developmental effects due to mercury. The MIA will pay particular attention to assessing national capacity to keep such risk groups safe. Recommendations on how to improve gender dimensions and gender mainstreaming related to Mercury, and priorities actions in this area will be highlighted in the MIA report.”

the South Pacific (USP) Institute of Applied Sciences (IAS) Laboratory Services (IAS) staff were trained on Mercury Sampling by the Institute of Developing Economies (IDEA) Inc consultants from Japan.

83. Furthermore, as part of the MIA report each country has developed an institutional assessment which shows a summary of existing national institutions and stakeholders and their role in the implementation of the Minamata Convention. The assessment provides also an analysis of possible institutional and capacity gaps to ensure a sound management of mercury.

**Based on the above-mentioned achievements, the effectiveness of the project is rated as Satisfactory (S).**

#### 4.3.4. Efficiency

84. Per the project document, several mechanisms were considered to produce outputs in a cost-efficient manner in comparison with alternative approaches. This included to assure the cost-effectiveness of the project by combining the management of the project with shared resources from other POPs- and chemicals-related projects being implemented by UNDP in the same country. However, limited involvement of UNDP CO in project implementation did not allow for this cost-effectiveness modality to be realized. It is to be noted though that some countries seized related opportunities for efficiency. For example, in Guinea Bissau the Minamata Convention was mainstreamed in the Coordination Committee established for other Conventions i.e. Stockholm, Basel which contributed for a more efficient implementation of the project at national level. Another cost-effectiveness mechanism considered by the global project document involved benefiting from in-kind co-financing resources by the host Government to cover some of the management related costs. This was the case for a few countries. For example, in Mauritania, capacities of the ministry -e.g. staff, vehicles, computers, etc.- were tapped to ensure implementation of project activities e.g. field missions.

85. Another modality provided by the global project document to ensure project efficiency was to hire one international technical expert to support the five project countries in the implementation of the country specific projects so that fewer resources and time would be spent on ensuring knowledge exchange and the sharing of lessons-learned between the five countries. The international technical advisor would also provide succinct, specific input where local expertise gaps exist. While technically effective, the cost-efficiency of this approach may have been moderate. When comparing with other GEF projects<sup>34</sup>, the budget dedicated to international expertise for the Global MIA project is close to the double than the one set for a sample of national MIA projects (Table 13). Therefore, the US\$200,000 allocation available to each project component (considering each country as a component) was not the amount committed per se to each country. UNITAR was brought into the project late (after approval by the GEF), so UNITAR's role was carved out from what was already written in the proposal, rather than an integral part in the way it was originally written. This was reflected also in the instalments, with the \$85,000 disbursed to each country typically in two instalments per country. The difference was the agreed amounts to work with UNDP and the countries for UNITAR's supporting role.

**Table 13: Highlights of the financial framework of a sample of GEF funded MIA Projects. Source: Evaluation, 2019**

Country	IA	Date project submitted to the GEF	Total Project Budget (in USD)	Budget for technical assistance from national consultants		Budget for technical assistance from international consultants	
				Total in USD	% of total budget	Total in USD	% of total budget

<sup>34</sup> <http://www.mercuryconvention.org/Implementation/Projectsdatabase/tabid/6137/Default.aspx>

Moldova	UNEP	29 May 2014	234.648 <sup>35</sup>	53.100	23%	32.000	14%
Madagascar	UNEP	3 June 2014	382.000 <sup>36</sup>	56.000	15%	33.000	9%
Costa Rica	UNDP	8 June 2014	200.000	72.500	36%	28.000	14%
Macedonia	UNEP	27 Aug. 2015	200.000	57.500	29%	34.000	17%
Guyana	UNDP	4 Aug. 2014	200.000	57.500	29%	34.000	17%
Comoros	UNIDO	6 March 2014	250.000 <sup>37</sup>	90.000	36%	30.000	12%
Global MIA Bangladesh Guinea Bissau Mauritania Mozambique Samoa	UNITAR	26 Jan. 2015	1.000.000 (200.000) (200.000) (200.000) (200.000) (200.000)	274.583	27%	296.759	30%

86. As introduced earlier (section 3.1), the initial duration of the project was 23 months, i.e. from 1 July 2015 to 30 May 2017. Implementation delays and extensions will bring the project to end on 30 June 2019, i.e. after 46 months. The project took twice longer to be implemented than originally planned. Several reasons were put forward to justify the fact that the initial objectives were not achieved on time. As presented in earlier sections, this includes political instability, turnover within UNITAR International Project Manager position, administrative delays and related technical constraints at national level. The bulk of these delays was faced prior to the national inception workshops. According to some of the project beneficiaries, this late start contributed to avail the final version of the MIA template and methodology to some countries, which allowed for a swifter and more efficient implementation of the project once it had effectively started. However, some beneficiaries noted also that these delays have postponed the ratification and/or implementation of the Convention as well as the search for funding and partners, and therefore the opportunities to act earlier to curve the trend of mercury use in the five countries.

87. Although project management information, administrative support, and technical assistance requested by country partners were reported to be quickly provided by UNITAR from 2017 onwards, it was found that the overall setup of the project was not the most efficient one to ensure smooth and timely implementation. On that matter, one constraint conveyed to the evaluation concerns the limited leverage of UNDP country presence and operational capacities. By design, the project document set a narrow role to UNDP at national level, concentrating primarily on the provision of *“technical guidance regarding the technical feasibility of the project”* and on *“carrying out objective and independent project oversight and monitoring functions”*, functions that were actually not taken up in the TOR annexed to the LOAs. Some countries saw more opportunities than others to collaborate with the local UNDP officer. Therefore, despite its country presence, UNDP was not systematically engaged in a liaison, facilitation, or local project management support function. A second constraint relates to the lack of national presence of UNITAR, which the project governance did not practically overcome. While the project document planned that the National Project Manager would be an international UNITAR consultant reporting *“to the International Project Manager and ultimately to the Senior Manager/Advisor within UNITAR based in Geneva”*, this arrangement was not taken up in the TOR annexed to the LOAs. Limited financial resources and the objective to increase national ownership led to assign the project management role to consultants or officials in the ministries, with no direct reporting line to UNITAR. This may have reduced the opportunities for UNITAR to locally drive and accelerate implementation. As a result, project partners suggested to the evaluation alternative management arrangements that might be potentially more efficient in the future, such as allowing UNITAR to concentrate on the delivery of technical expertise on chemicals and waste management and keeping to UNDP the role of national implementing agency, or ensuring to provide UNITAR with

<sup>35</sup> Includes USD52,000 in national co-financing

<sup>36</sup> Includes USD200.000 in national co-financing

<sup>37</sup> Includes USD50.000 in co-financing (UNIDO, national)

sufficient project management capacities at local level to facilitate efficient implementation -which requires matching resources.

88. Despite these constraints or limitations, the project was implemented with no additional costs. The comparison between the initial project plan and the realized budget does not show any major discrepancies (table 14). Furthermore, the project contributed to the finalization of the learning modules and the maintenance/ improvement of the mercury platform and mercury learn, including IT support and expert time to verify the content and to coach countries during the delivery of the training sessions and courses (using the two modules available).

**Table 14: and realized project budget. Source: UNITAR & Evaluation, 2019**

GEF Component (Outcome) /Atlas Activity	Resp Party/ Impl. Agent	Fund ID	Donor Name	ATLAS Code	Atlas Budget Description	TOTAL Amount (USD) As Planned in June 2015 (per the Project document)	TOTAL Amount (USD) As Realized in June 2019 (per the Project FMO)
Comp 1.	TBD	62000	GEF	71200	International Consultants	51 360	51 360
				71300	Local Consultants	66 875	66 875
				71600	Travel	101 650	101 650
				75700	Training, Workshops & Conferences	37 450	37 450
				72420	Communications	0	7 918
				74500	Miscellaneous	10 700	7 424
<b>GEF Subtotal Atlas Activity 1 (Comp 1)</b>						<b>268 035</b>	<b>272 677</b>
<b>TOTAL ACTIVITY 1 (Comp 1)</b>							
Comp 2.	TBD	62000	GEF	71200	International Consultants	221 490	245 399
				71300	Local Consultants	207 708	207 708
				71600	Travel	132 963	132 963
				72100	Contractual Services- Companies	24 075	166
				72420	Communications	0	7 918
				74500	Miscellaneous	16 050	3 490
			75700	Training, Workshops & Conferences	39 590	39 590	
<b>GEF Subtotal Atlas Activity 2 (Comp 2)</b>						<b>641 876</b>	<b>637 234</b>
<b>TOTAL ACTIVITY 2 (Comp 2)</b>							
	TBD	62000	GEF	71300	Local Consultants	89 302	89 302
	TBD	62000	GEF	72420	Communications	0	762
	TBD	62000	GEF	74500	Miscellaneous	787	25
<b>TOTAL ACTIVITY 3 (Project Management)</b>						<b>90 089</b>	<b>90 089</b>
<b>SUB-TOTAL GEF</b>						<b>1 000 000</b>	<b>1 000 000</b>

Based on the above-mentioned findings, the efficiency of the project is rated as Moderately Satisfactory (MS).

#### 4.3.5. Country ownership

89. The project achieved to create a high level of national ownership. Several enablers were found particularly effective in that regards. Assigning the role of NPC/NPM to senior officials in the five countries instead of contracting international consultants was certainly one of the successful approaches to ensure national ownership. Equipping countries with a Mercury Coordination Committee involving relevant ministries and other stakeholders was another positive factor. Training and relying on national consultants, universities or NGOs to conduct the inventory, assessments, and awareness raising campaigns was another effective avenue.

90. Evaluation informants reported a couple of areas that go beyond the scope of the project, but on which country ownership was perceived lacking. This regards first the process through which the official template of the MIA report was developed. National partners noted that inventory data and assessments were not always specific enough or could be interpreted and analysed in different ways. Suggestions were made therefore for countries to be more directly involved in the design or updating of the template and guidelines and in sharing lessons learned with the Minamata Convention. Secondly, informants pointed out that the Convention does not forbid mercury imports, which is perceived to be a missing piece to provide a legal basis to countries to prevent or apprehend imports. However, it was recognized that the project had limited if any capacities to enhance country ownership on such matters that concern more the Convention at large and may be rather addressed by participating in the COPs of the Convention.

#### 4.3.6. Mainstreaming

91. As indicated earlier (section 4.3.2), the project was well aligned with the SDGs. Furthermore, it was also well aligned with the UNDAF of the five countries<sup>38</sup>. The project was also mainstreamed with gender, primarily in the global project document and through the template of the MIA reports.

#### 4.3.7. Sustainability

92. The results of the project are highly likely to endure beyond the implementation of the activities.

**The overall rating for Sustainability of Outcomes is Likely (L).**

93. All five countries have signed the Convention and three countries have ratified it, therefore committing to its implementation. Two countries (Mauritania, Guinea Bissau) have initiated the process of mainstreaming the management of mercury in their national policies, laws and regulations. Several countries have mainstreamed the MCC in the agenda and working modalities set for other earlier ratified Conventions. For all countries, the MIA will serve as a baseline upon which to measure progress.

**The sustainability of the Institutional Framework and Governance is rated as Likely (L).**

94. Exposure to mercury – even small amounts – is recognized as a cause of serious health problems. Industries and ASGM can rely on alternative solutions. There are no political barriers that would

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- <sup>38</sup> Bangladesh, UNDAF for the Period 2017-2020. Outcome 2 “Planet – Sustainable and resilient environment.”
  - Guinea Bissau, Plan cadre des Nations Unies pour l’aide au développement 2013-2017. “Effet 4: Les Institutions nationales mettent en œuvre, efficacement, des politiques et stratégies adéquates, sensibles au genre, pour promouvoir le développement économique durable.”
  - Mauritania, Plan cadre des Nations Unies pour l’aide au développement 2012-2016. Axe de cooperation 3 “L’amélioration de la gouvernance environnementale et l’utilisation rationnelle des ressources naturelles”.
  - Mozambique, UNDAF 2017-2020. Outcome 9. “Most Vulnerable People in Mozambique Benefit from Inclusive, Equitable and Sustainable Management of Natural Resources and the Environment.”
  - Samoa, UNDAF for the Pacific Region 2013-2017. Outcome 1.1. “By 2017 the most vulnerable communities across the PICTS are more resilient and select government agencies, civil society organizations and communities have enhanced capacity to apply integrated approaches to environmental management, climate change adaptation/mitigation, and disaster risk management.”



constrain the continuation of the implementation of the Minamata Convention by country partners. Awareness raising activities are very likely to have enduring effects, being at the policy level, within the public administration and stakeholders' organizations, or with the general public. The knowledge and skills developed at national level during the implementation of the project will also remain after project closure. There should also not be any sociological barriers to the sustainability of project outcomes.

**The Socio-political Sustainability is rated as Likely (L).**

**No significant environmental risk was identified and thus the Environmental risks are negligible, and the sustainability is rated as Likely (L).**

95. The benefits of the project are likely to continue in the mid- and long-term after funding ceases, but financial needs for implementation of the action plans are not negligible. Budgets proposed for the implementation of the action plans vary greatly from one country to another. Guinea Bissau has tentatively (subject to further economic assessment) indicated a budget of US\$2,185,00 for the implementation of the action plans. The estimate provided by Mauritania for implementation of the national action plan is US\$6,050,000. Samoa assessed that the total cost of the action plan would be US\$18 million, while noting that a large part of these costs can be incorporated into national planning towards the Sustainable Development Goals, in particular in relation to human health and waste management. In GEF-6 (2014-2018), the GEF invested US\$141 million in programming that delivered projects to reduce mercury from key sectors including ASGM, and to support 110 countries to conduct Minamata Initial Assessments and 32 countries to conduct ASGM National Action Plans. In GEF-7<sup>39</sup>, funding for mercury programmes has increased to US\$206 million that will be used to phase out, reduce, and where possible eliminate mercury in priority sectors of the Convention. Funding for mercury is included in the four GEF-7 chemicals and waste programming lines and includes support for enabling activities, reduction of mercury emissions and releases from sectors specified by the Convention, as well as phase out and elimination of mercury in products and processes that are included in the Convention. In addition, the GEF-7 Impact Programs on Food, Land Use, and Restoration, Sustainable Cities, and Sustainable Forest Management are expected to deliver global environmental benefits by reducing the harmful effects of chemicals and waste, including mercury. Besides the GEF, other sources of funding include the Minamata Specific International Programme, the SAICM Special Programme, and bilateral resource partners.

96. While implementation of the action plans will require resource mobilization efforts from the project countries, it was noted that the project document did not provide any exit strategy. However, during the final project workshop in Istanbul, UNDP and UNITAR proposed to assist the five countries in developing the next project document and in identifying donors and partners for a next phase, which was welcome by participants.

**Based on the above-mentioned findings, the rating of Financial Sustainability is Likely (L).**

#### **4.3.8. Impact**

97. The very own objectives of the project did not leave room to identify real differences that were made with regards to environmental and health impacts of mercury. In the first place, the project was about developing a MIA report that would contain priority actions and not about implementing them. In addition, medium to long term health and environmental impact would be difficult to assess in such a short timeframe. With these provisions in sight, evaluation informants cited the following contributions of the project to longer term development outcomes:

- The project has created a national baseline database.

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<sup>39</sup> During GEF-6, prior to the Conference of the Parties, both signatory countries and parties were eligible for receiving funding from the GEF. In GEF-7, only Parties are eligible to access GEF resources.

- The project has built capacity to assess mercury emissions in the future.
- The project has also assisted to build national multi-sectorial teams to work on mercury issues.
- The project raised awareness on mercury use and led to identify devices containing Hg.
- The project has helped to devise care and treatment of waste.
- The project helped to learn that gold can be extracted without mercury, that there are alternatives to keep people at work and with resources.
- The project has led to a reinforcement of regulations and policies with regards to the importation and exportation of goods and products that contain mercury and related compounds.

98. Scaling project outcomes and increasing the likelihood of impact would imply a range of actions or next steps according to project partners:

- Strengthen capacities (individual and organizational) across the entire country including in ministries, local government agencies, customs offices, etc.
- Improve the comprehensiveness and accuracy of the inventories and ensure regular updates.
- Increase linkages between the governments and the NGOs and CSOs.
- Strengthen global coordination between UN agencies and foster national level support (e.g. UNITAR, UNDP, UNIDO, UN Environment, WHO, UNICEF, UN Women, etc.).
- Mobilise donors and resources to implement the MIA and NAP (e.g. SIDA, SDC, EU, World Bank, GEF, etc.).
- Conduct awareness raising campaigns across each country and target different communities including the most marginalized ones.

## 5. Conclusions, Recommendations & Lessons

99. The following sections build on the above findings and analysis and highlight the main take-away points.

### 5.1. Conclusions

100. The project proved relevant to address the needs of the five countries after the signature of the Minamata Convention to support the development of the MIA reports. The project was initiated in a context of a lack of knowledge about mercury use in the five countries as well as low capacities to undertake a national inventory, perform an institutional assessment and conduct a legislation and policy review. The project approach to build national capacities was aligned with the international development agenda, including the SDGs, and evaluation informants found very relevant the training activities, in-country technical assistance, and remote advisory support delivered by the project. Nevertheless, the relevance, added value, and benefits of designing the project as a global endeavor in lieu of five national projects were not clearly spelled out in the project document and did not significantly materialize during implementation. Similarly, the rationale for putting together five countries with such different realities and low capacities was not found strongly legitimated. The project governance structure planned to install Global and National Project Boards, and National Project Managers reporting to UNITAR. This setup was not realized, despite being potentially relevant to mitigate the lack of country presence from the executing agency.

101. The project was found effective in delivering outputs and outcomes. UNITAR's support, technical assistance, and trainings were perceived by stakeholders as effective in building capacities. Furthermore, about 85 per cent of the evaluation survey respondents who attended a training workshop reported having applied the knowledge or skills from the training(s) to undertake mercury inventories. The evaluation noted however a lack of assessment by the project of learning outcomes (e.g. strengthened knowledge or skills), despite being required by UNITAR for all project training events of two days or more in duration. At project closure, one MIA report (Samoa) has been completed (and submitted to the Secretariat of the Convention), two reports have been finalized and are under formatting (Guinea Bissau and Mauritania), and one report is under final revision (Bangladesh). One MIA (Mozambique) remains at a less advanced stage of development of the MIA report, but has drafted some of the chapters<sup>40</sup>. Whereas the project document planned for Level 2 mercury inventories, three countries have undertaken a Level 1 inventory<sup>41</sup>. Furthermore, a rapidly changing context in one country (gold rush in Mauritania in 2016) has made that inventory partially outdated. This indicates the need for countries to continue work after the project's end, under the auspices of the Convention, which has been already ratified by Guinea Bissau, Mozambique, and Samoa (Bangladesh and Mauritania have reported to the evaluation a strong likelihood to proceed to the ratification in 2019). The evaluation found that the MIA reports that have been finalized and the process towards their development have been effective in building a rough baseline about mercury use in each country, in delivering assessment studies, and in raising awareness on the matter among decision makers and the general public.

102. The project was implemented within the set budget, but over twice the amount of time originally planned for its execution. Furthermore, the level of resources committed to country partners for direct implementation equaled 42.5 per cent of the total project budget. This has provided room for international project management and technical assistance but limited at national level the scope and scale of sites visits to inform the inventory with more accurate data and to conduct awareness raising campaigns targeting larger segments of the population including rural and vulnerable ones. This makes the assessment of project efficiency moderately satisfactory.

103. The sustainability of the project outcomes was assessed as likely from the standpoints of the institutional, organizational, and individual capacities developed. However, resources, capacities and partnerships remain to be mobilized to effectively transition to the next phase and implement the action plans formulated in the MIA reports. GEF funding may be leveraged, but requires countries to have ratified the Convention to be accessed.

104. The core objectives of the project and the timeframe for its implementation were not compatible with the identification of long term environmental or development impacts.

105. Overall, project management was found satisfactory after 2017 with dedicated staff assigned to support execution from legal, managerial and technical angles. However, from 2015 to 2017, rotation of staff within the International Project Manager position together with unstable institutional contexts and administrative as well as technical bottlenecks in some countries delayed significantly project implementation.

## **5.2. Recommendations**

106. Based on the above findings and conclusions, five recommendations are issued. However, some of these recommendations may have limited use considering that similar projects will be unlikely as the

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<sup>40</sup> Final draft for UNDP's review submitted to UNDP on 11 July 2019

<sup>41</sup> According to UN Environment, preparing a comprehensive Level 2 inventory takes more time and effort than Level 1, but it enables a better and more accurate analysis of the situation. <https://www.unenvironment.org/explore-topics/chemicals-waste/what-we-do/mercury/mercury-inventory-toolkit>

MIA reports were delivered (or are about to) and that countries are now entering a new phase with the implementation of the Convention and action plans.

1. UNITAR should strengthen its knowledge management practices throughout the project cycle (e.g. filing project progress reports and other deliverables, capturing knowledge of staff, standardizing hand-over protocols/tools, and identifying and codifying good practices) and better leverage this knowledge for project delivery, organizational development and institutionalization (e.g. development of guidelines and methodologies, enriching the content of training modules, etc.).
2. UNITAR should leverage its expertise, experience and networks to establish a global community of practice on mercury to serve as the knowledge and learning hub for the UN system and partners (e.g. by building on the existing MercuryLearn platform or the chemicalsandwaste.org platform), and engage members in mutually supportive activities and sharing of experiences to facilitate the implementation of the Minamata Convention.
3. UNITAR should assess more systematically and methodologically the learning needs of project beneficiaries, define learning objectives to training programmes and events, define baselines and measure/monitor short- and medium-term achievements of learning outcomes, in order to more assess learning performance and facilitate the identification of remaining knowledge gaps and the development of complementary training and capacity building activities during the course of project execution.
4. UNITAR should capitalize on its country projects by looking for additional opportunities to scale project activities and outcomes at the national level, either by identifying new target audiences for capacity building (ministries, agencies, universities, industrial sectors, NGOs, etc.) and/or partners with whom to localize and institutionalize training programmes whether during project implementation or to inform exit strategies and devise opportunities for future actions and collaboration in support of country partners.
5. UNDP and UNITAR should consider better maximizing their comparative advantages on the mercury portfolio, with UNITAR focusing project support on the provision of technical expertise or installing adequate project management capacity at country level when acting as Executing Agency, and UNDP by making the most of its country presence and closely engaging its Country Offices to support national partners implementing the Minamata Convention and to coordinate with the UN system e.g. UNIDO, WHO, UN Environment, etc. and instruments e.g. UNDAF (now UNSDCF).

### 5.3. Lessons

107. Several lessons can be formulated from the project:

- Engaging senior officials in projects that cover an entire country and a range of ministries and industrial sectors is essential to gain the proper level of leadership, decision making and momentum. Activities tailored to and engaging specifically policy makers and senior officials may contribute to accelerate buy-in and project implementation.
- There may be room to instill stronger south-south cooperation mechanisms in global projects to enable participating countries to share experiences, engage in mutual support and learning activities, exchange tools in the same language. Implementation of such initiatives may be bound to the project countries or tap the larger portfolio and network of UNDP and UNITAR mercury project countries to seek the best possible synergies.
- Conducting a national inventory and engaging in awareness raising campaign are long-term and resource intensive activities. While specific project objectives may be met in the short-term, longer term impacts, effects and sustainably are ultimately tied to issues of scaling and additional funding.

- Designing a national MIA project should not be taken as a model for a global project. Global projects are by definition more challenging, particularly given the wide variation of country capacities in e.g. LDCs, SIDS etc. and Mercury Initial Assessments should consider a longer period of time for implementation that cater more specifically to national circumstances.

## Annexes

1. TOR
2. List of Persons Interviewed
3. List of Documents Reviewed
4. Evaluation Survey
5. Evaluation Question Matrix
6. Evaluation Consultant Agreement Form

## 1. Terms of Reference

### INTRODUCTION

In accordance with UNDP and GEF M&E policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation. These terms of reference (TOR) sets out the expectations for a Terminal Evaluation (TE) of the *Strengthen national decision making towards ratification of the Minamata Convention and build capacity towards implementation of future provisions project*. (PIMS #5410.)

The essentials of the project to be evaluated are as follows:

### PROJECT SUMMARY TABLE

Project Title:	Strengthen national decision making towards ratification of the Minamata Convention and build capacity towards			
GEF Project ID:	6959		<i>at endorsement</i> <i>(Million US\$)</i>	<i>at completion</i> <i>(Million US\$)</i>
UNDP Project ID:	5410	GEF financing:	\$1,000,000	\$1,000,000
Country:	Bangladesh, Guinea Bissau, Mauritania, Mozambique, and Samoa	IA/EA own:	0	0
Region:	multiple	Government:	0	0
Focal Area:		Other:		
FA Objectives, (OP/SP):		Total co-financing:		
Executing Agency:	UNDP	Total Project Cost:		
Other Partners involved:	UNITAR	Project Document Signature (date project began):		09.09.2015
		(Operational) Closing Date:	Proposed: 30.05.2017	Actual: 30.06.2019

### OBJECTIVE AND SCOPE

The project was designed to:

The project's objective is to undertake a Mercury Initial Assessment to enable the Governments of the four project countries to determine the national requirements and needs for the ratification of the Minamata Convention and establish a sound foundation to undertake future work towards the implementation of the Convention.

It will do so by implementing 4 components as specified in the GEF guidelines (GEF/C.45/Inf.05 paragraph 19), as well as a fifth component on mainstreaming.

#### 1. Undertake an assessment of legislation and policies in regard to the implementation of Convention provisions of

- Article 3;
- Article 5;
- Article 7 (including legislation and policy to cover formalization, worker health and safety);
- Article 8 (specifically in regard to relevant national air pollution/emission standards and regulations);

- Article 9 (specifically in regard to the ability to identify and categorize sources of releases).

The policy and legislative assessment will be undertaken through a review of existing legislation on chemicals management and identification of the gaps prevalent in association to issues of mercury. In addition the legislation review will assess the necessary steps for the establishment of a National Mercury Coordination/Consultation Mechanism.

**2. Undertake an initial assessment of Mercury in the following categories:**

- Stocks of mercury and/or mercury compounds and import and export procedures including an assessment of the storage conditions;
- Supply of mercury, including sources, recycling activities and quantities;
- Sectors that use mercury and the amount per year, including manufacturing processes, ASGM and mercury added products;
- Trade in mercury and mercury containing compounds.

**3. Identify:**

- Emission sources of mercury;
- Release sources of mercury to land and water.

**4. Assess institutional and capacity needs to implement the Convention.**

Institutional capacity of governmental institutions and agencies will be assessed to determine the capacity needs and gaps that exist for the implementation of the Convention and propose intervention to strengthen these institutions and capacity. The assessment will also review the systems needed to report to the Convention under article 21.

The institutional capacity gaps identified and the findings of the legislation and policy review will be used to formulate a number of priority actions, which will be included in the Mercury Initial Assessment Report. Proposed actions will be discussed and agreed upon among the key stakeholders mentioned above through several rounds of discussions.

**5. Mainstream national Mercury priorities in national policies and plans to raise the importance of Hg priority interventions:**

- Identify national mercury priorities;
- Assess opportunities for mainstreaming Hg priorities;
- Mainstream Hg priority interventions in relevant policies/plans.

The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects.

The objectives of the evaluation are to assess the achievement of project results, and to draw lessons that can both improve the sustainability of benefits from this project, and aid in the overall enhancement of UNDP programming.

Though as per project document a mid-term evaluation was foreseen, it was agreed amongst UNDP and UNITAR that the evaluation will be a light terminal evaluation, implemented with budgetary restrictions. The terminal evaluation will only cover the project.

**EVALUATION APPROACH AND METHOD**

The evaluation is to be undertaken in accordance with the [UNITAR Monitoring and Evaluation Policy Framework](#) and the [United Nations norms and standards for evaluation](#). The evaluation will be undertaken by a supplier or an international consultant (the “evaluator”) under the overall responsibility of the UNITAR Planning, Performance Monitoring and Evaluation Unit (PPME).

An overall approach and method<sup>42</sup> for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluator is expected to frame the evaluation effort using the criteria of

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<sup>42</sup> For additional information on methods, see the [Handbook on Planning, Monitoring and Evaluating for Development Results](#), Chapter 7, pg. 163



**relevance, effectiveness, efficiency, sustainability, and impact**, as defined and explained in the [UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects](#). A set of questions covering each of these criteria have been drafted and are included with this TOR ([Annex C](#)) The evaluator is expected to amend, complete and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, in particular the GEF operational focal point, UNDP Country Office, project team, UNDP GEF Technical Adviser based in the region and key stakeholders. The evaluator is expected to conduct a field mission to *Istanbul to attend Final Global MIA workshop at which the focal points of four out of the five countries (except Samoa) will be present*. Interviews will be held with the following organizations and individuals at a minimum:

- Ministries of Environment - Responsible for providing policies pertaining to environmental protection e.g. such as National Environmental Policies, Environmental Management Acts and its Regulations, programmes and projects.
- Ministries of Finance – Responsible for determining opportunities for mainstreaming existing financial mechanisms (e.g. collateral registries) that can be used to access financing for informal sectors such as ASGM.
- Ministries of Health – The Ministry is responsible for the development and implementation of health policies and assumes responsibilities related to monitoring, control, regulation and standardization. In addition, the Ministry registers medical devices and monitors companies that import, manufacture, distribute and / or store medical equipment and devices.
- Ministries of Energy – Ensuring that electricity systems functions with reliability and productivity, and promoting innovation in the energy sector.
- Ministries of Mining – Formulation and administration of the rules and regulations and laws relating to mines and responsible for survey and exploration of all minerals.
- Ministries of Local Government and Municipalities/City Councils - Regulate and supervise waste management in municipalities/districts/councils and are responsible for hazardous waste storage and disposal.

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

## EVALUATION CRITERIA & RATINGS

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework ([Annex A](#)), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: **relevance, effectiveness, efficiency, sustainability and impact**. Ratings must be provided on the following performance criteria. The completed table must be included in the evaluation executive summary. The obligatory rating scales are included in [Annex D](#).

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

Overall Project Outcome Rating		Environmental :	
		Overall likelihood of sustainability:	

## PROJECT FINANCE / COFINANCE

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

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

## MAINSTREAMING

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

## IMPACT

The evaluators will assess the extent to which the project is achieving impacts or progressing towards the achievement of impacts. Key findings that should be brought out in the evaluations include whether the project has demonstrated: a) verifiable improvements in ecological status, b) verifiable reductions in stress on ecological systems, and/or c) demonstrated progress towards these impact achievements.<sup>43</sup>

## CONCLUSIONS, RECOMMENDATIONS & LESSONS

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

## IMPLEMENTATION ARRANGEMENTS

The principal responsibility for managing this evaluation resides with UNITAR. UNITAR will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. The Project Team will be responsible for liaising with the Evaluators team to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

## EVALUATION TIMEFRAME

The total duration of the evaluation will be 25 days according to the following plan:

Activity	Timing	Completion Date
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<sup>43</sup> A useful tool for gauging progress to impact is the Review of Outcomes to Impacts (ROtI) method developed by the GEF Evaluation Office: [ROTI Handbook 2009](#)

<b>Preparation</b>	3 days ( <i>recommended: 2-4</i> )	25.03.2019 ( <i>just before the mission though</i> )
<b>Evaluation Mission</b>	11 days ( <i>r: 7-15</i> )	26.03.-27.03.2019 <i>plus data collection</i>
<b>Draft Evaluation Report</b>	9 days ( <i>r: 5-10</i> )	6.5.2019
<b>Final Report</b>	2 days ( <i>r;: 1-2</i> )	27.05.2019

## EVALUATION DELIVERABLES

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The evaluation team is expected to deliver the following:

Deliverable	Content	Timing	Responsibilities
<b>Inception Report</b>	Evaluator provides clarifications on timing and method	<b>No later than 2 weeks before the evaluation mission.</b>	Evaluator submits to UNITAR
<b>Presentation</b>	Initial Findings	End of evaluation mission	To project management, UNITAR
<b>Draft Final Report</b>	Full report, (per annexed template) with annexes	Within 3 weeks of the evaluation mission	Sent to UNITAR, reviewed by RTA, PCU, GEF OFPs
<b>Final Report*</b>	Revised report	Within 1 week of receiving UNDP comments on draft	Sent for uploading to UNITAR

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

## TEAM COMPOSITION

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The evaluation team will be composed of *1 international evaluator*. The consultants shall have prior experience in evaluating similar projects. Experience with GEF financed projects is an advantage. The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The evaluator must present the following qualifications:

- Minimum 7 years of relevant professional experience
- Knowledge of UNDP and GEF
- Previous experience with results-based monitoring and evaluation methodologies;
- Technical knowledge in the targeted focal area(s) (environment)
- Fluency in English and French. Portuguese is an advantage.
- Field work experience in developing countries.
- Excellent research and analytical skills, including experience in a variety of evaluation methods and approaches.
- Excellent writing skills.
- Strong communication and presentation skills.
- Cross-cultural awareness and flexibility.
- Availability to travel.

## EVALUATOR ETHICS

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

#### **PAYMENT MODALITIES AND SPECIFICATIONS**

%	Milestone
50%	Following submission and approval of the Inception Report
50%	Following submission and approval (UNITAR and UNDP RTA) of the final terminal evaluation report

#### **APPLICATION PROCESS**

Applicants are requested to apply online by sending an email to [evaluation@unitar.org](mailto:evaluation@unitar.org) by 17 March 2019. Individual consultants are invited to submit applications together with their CV for these positions. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact. Shortlisted candidates will be requested to submit a price offer indicating the total cost of the assignment (including daily fee, per diem and travel costs).

UNDP applies a fair and transparent selection process that will take into account the competencies/skills of the applicants as well as their financial proposals. Qualified women and members of social minorities are encouraged to apply.

## ANNEX A: PROJECT LOGICAL FRAMEWORK

### SECTION II: PROJECT RESULTS FRAMEWORK

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<p><b>Objective of the Project:</b> Undertake a Mercury Initial Assessment (MIA) to enable the Governments of Bangladesh, Guinea-Bissau, Mauritania, Mozambique, and Samoa to determine the national requirements and needs for the ratification of the Minamata Convention and establish a national foundation to undertake future work towards the implementation of the Convention.</p>					
<p><b>Component 1:</b> Establishment of enabling environment for decision-making on the ratification of the Minamata Convention.</p>	<p><b>Key Outputs:</b></p> <p><b>1.1: National Coordination/Consultation Mechanism on Mercury operational.</b> 1.1: National Coordination/Consultation Mechanism on Mercury established.</p> <p><b>1.2 Policy and regulatory framework, and institutional and capacity needs in regard to the implementation of Convention provisions assessed.</b> 1.2 Assessment report prepared on the existing and required policy and regulatory framework as well as institutional capacity to implement the Convention (<i>incl. overview of existing barriers</i>).</p> <p><b>1.3 Awareness raised on the environmental and health impacts of Mercury.</b> 1.3 Hg awareness raising activities conducted targeting decision makers and population groups at risk.</p> <p><b>1.4: Project countries equipped and prepared for the mainstreaming of national Mercury Priorities</b> 1.4: Socio-economic studies on Mercury priorities completed; Awareness of decision makers raised; Mainstreaming road maps developed</p>				
	<p><b>Outcome 1.1:</b> National Coordination/Consultation Mechanism on Mercury operational</p>	<ul style="list-style-type: none"> <li>Awareness on Mercury issues created among all project stakeholders.</li> <li>One regional and five national Inception Workshops organized.</li> <li>National Coordination/Consultation Mechanism on Mercury established</li> </ul>	<ul style="list-style-type: none"> <li>Some of the project countries do have chemicals related coordination mechanisms in place – however these require strengthening in terms of the life-cycle management of Hg. Other project countries do not have such mechanisms in place.</li> </ul>	<ul style="list-style-type: none"> <li>One regional inception workshop/GPB meeting organized.</li> <li>National Project Inception Workshops organized in each of the project countries.</li> <li>National Coordination/Consultation Mechanism on Mercury, which is authorized to take decisions on Mercury, meets at least once every 6 months.</li> </ul>	<ul style="list-style-type: none"> <li>Copy of Government decision/degree which established the Hg Coordination/Consultation Mechanism.</li> <li>Copy of meeting minutes</li> </ul>

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<p><b>Outcome 1.2:</b> Policy and regulatory framework, and institutional and capacity needs in regard to the implementation of Convention provisions assessed.</p>	<ul style="list-style-type: none"> <li>Assessment Report finalized.</li> </ul>	<ul style="list-style-type: none"> <li>None of the project countries have yet undertaken a comprehensive assessment of their policy and regulatory framework in light of the requirements for Minamata implementation.</li> </ul>	<ul style="list-style-type: none"> <li>Institutional capacities, and the policy and regulatory framework in place to management of Mercury, assessed, gaps and needs identified.</li> <li>Barriers that would hinder implementation of the Convention identified.</li> <li>Assessment reviewed and discussed by Mercury Focus Group.</li> </ul>	<ul style="list-style-type: none"> <li>Assessment Report</li> <li>Meeting minutes</li> <li>List of participants</li> </ul>	<p><b>Assumption:</b> It is assumed that all involved institutions are willing to share information about current capacity, gaps and needs.</p> <p><b>Risk:</b> Low</p>

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<p><b>Outcome 1.3:</b> Awareness raised on the environmental and health impacts of Mercury.</p>	<ul style="list-style-type: none"> <li>Awareness on the health effects of Mercury increased among decision makers, the general public and population groups at risk.</li> </ul>	<ul style="list-style-type: none"> <li>Some awareness of the impacts of Mercury is present – although the degree of awareness varies greatly by project country and sector.</li> </ul>	<ul style="list-style-type: none"> <li>National Assessment on health and environmental impacts of Mercury concluded.</li> <li>Population groups at risk identified.</li> <li>Awareness raising plan finalized.</li> <li>Public awareness raising campaign organized on the health and environmental effects of Mercury and how to manage Hg containing wastes properly.</li> <li>Awareness raised among decisions makers and population groups at risk.</li> <li>Preventive programmes on occupational exposure implemented.</li> </ul>	<ul style="list-style-type: none"> <li>Awareness raising plan</li> <li>News articles (tv, newspaper, internet, etc.)</li> <li>Awareness raising materials (flyers, brochures, etc.)</li> </ul>	<p><b>Assumption:</b> It is assumed that all government institutions are willing to share accurate information about the health effects of Mercury and the potential health exposure for certain risk groups.</p> <p><b>Risk:</b> Medium</p>

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 1.4:</b> Project countries equipped and prepared for the mainstreaming of national Mercury Priorities	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in each project country.</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for each project country.</li> <li>• Sample text for mainstreaming prepared for each country.</li> </ul>	<ul style="list-style-type: none"> <li>• In none of the project countries priorities related to Mercury have been mainstreamed. Neither do nat. government budgets contain activities/budget lines for mercury lifecycle management.</li> </ul>	<ul style="list-style-type: none"> <li>• Socio-economic study on Mercury priority(ies) completed in each project country.</li> <li>• Awareness of decision makers raised.</li> <li>• Mainstreaming road maps developed for each project country.</li> <li>• Sample text for mainstreaming prepared for each country.</li> </ul>	<ul style="list-style-type: none"> <li>• Hg priorities/activities are reflected in relevant action/development plans and/or policies.</li> </ul>	<p><b>Assumption:</b> It is assumed that once the project has agreed on which Hg priorities to mainstream, national development plans are being reviewed and it is timely to mainstream selected priorities.</p> <p><b>Risk:</b> High</p>
<b>Outcome 2:</b> Development of National Mercury Profile and Mercury Initial Assessment Report	<p><b>Key Outputs:</b></p> <p><b>2.1 National capacity built to undertake Mercury inventories.</b>            2.1 Capacity building and training conducted to commence the Mercury inventory.</p> <p><b>2.2 National Mercury Profile available.</b>            2.2 Mercury Inventory conducted and sector description by usage of Mercury developed.</p> <p><b>2.3 National MIA Report available.</b>            2.3 National MIA Report for the ratification and implementation of the Convention prepared (including proposed policy/regulatory interventions, inst. Cap. Building and required investment plans).</p>				



Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 2.1:</b> National capacity built to undertake Mercury inventories.	<ul style="list-style-type: none"> <li>5 teams of national experts trained on conducting Mercury Inventories (at regional level)</li> <li>National technical experts (consultants and Mercury Focus Group members) trained on data collection methodologies, reliability, credibility and data analysis.</li> </ul>	<ul style="list-style-type: none"> <li>Bangladesh: Some limited capacity was built as part of an assessment of Mercury sources and hotspots in Bangladesh (ESDO, 2012).</li> <li>Mozambique: Limited capacity following assessment of mining activities (2000)</li> <li>Guinea-Bissau/Mauritania/Samoa no capacity on conducting inventories.</li> </ul>	<ul style="list-style-type: none"> <li>National technical experts trained to be able to undertake the Mercury Inventory.</li> <li>National Mercury Coordination/Consultation Mechanism members trained to be able to review the Hg Inventory.</li> </ul>	<ul style="list-style-type: none"> <li>Training materials/handouts</li> <li>List of participants</li> </ul>	<p><b>Assumption:</b> It is assumed that the project will have available sufficient funds to hire technical experts that have already a proven track record in the area of Hg.</p> <p><b>Risk:</b> Medium</p>

Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
<b>Outcome 2.2:</b> National Mercury Profile available.	<ul style="list-style-type: none"> <li>Mercury profile finalized.</li> </ul>	<ul style="list-style-type: none"> <li>None of the project countries have a Mercury Profile.</li> </ul>	<ul style="list-style-type: none"> <li>Methodology and work programme on how to conduct the inventory submitted and approved by the project board.</li> <li>Mercury Inventory (Level 2) completed, incl.:               <ul style="list-style-type: none"> <li>Overview of emission and releases sources</li> <li>Inventory of wastes (stockpiles and generation rates)</li> <li>Assessment of current practices to manage Hg</li> <li>Identification of main risk groups</li> </ul> </li> <li>Recommendations for improved Hg management prepared.</li> <li>National Mercury Profile finalized.</li> </ul>	<ul style="list-style-type: none"> <li>Excel files containing inventory data</li> <li>Mercury profile.</li> </ul>	<p><b>Assumption:</b> The project team is able to collect the necessary data and information that would be necessary to prepare a high-quality Mercury Profile.</p> <p><b>Risk:</b> Low</p>

<p><b>Outcome 2.3:</b> National MIA Report available.</p>	<ul style="list-style-type: none"> <li>• National MIA Report finalized.</li> <li>• Regional/National reporting/validation workshops organized to approve/adopt the project's outputs (Inventory, Mercury Profile, MIA Report, Mainstreaming Roadmap).</li> </ul>	<ul style="list-style-type: none"> <li>• None of the project countries have a National MIA Report.</li> </ul>	<ul style="list-style-type: none"> <li>• MIA Report prepared, containing: <ul style="list-style-type: none"> <li>- Institutional structures available to implement the Convention.</li> <li>- Barriers for implementation of the Convention.</li> <li>- Summary of Mercury Profile.</li> <li>- Identification of technical and financial needs for implementation of the Convention.</li> <li>- Inventory of wastes (stockpiles and generation rates)</li> <li>- Proposal for action.</li> <li>- Recommendations for policy and regulatory revisions.</li> </ul> </li> <li>• Lessons-Learned Report prepared.</li> <li>• MIA Report reviewed, approved and adopted.</li> <li>• One regional, or five national reporting/validation workshops will be organized to approve/adopt the projects outputs, among else the Inventory report, Mercury</li> </ul>	<ul style="list-style-type: none"> <li>• MIA Report</li> <li>• Meeting minutes</li> <li>• List of participants</li> </ul>	<p><b>Assumption:</b> The MIA report is of sufficiently high quality and in line with government expectations, that it can be approved and adopted relatively fast.</p> <p><b>Risk:</b> Low</p>
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Objective/ Outcome	Indicator	Baseline	End of Project target	Source of Information	Risks and assumptions
			Profile, MIA Report and Mainstreaming Roadmap.		

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

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- *Project document: GEF Application Form*
- *Logical framework*
- *Agreements*
- *Grant-out agreements with partner countries*
- *Narrative reports*
- *Financial reports*
- *Feedback Survey and Training Event Follow-up Questionnaire on UNITAR's Event Management System*
- *Content from face-to-face events*
- *Any other document deemed to be useful to the evaluation*

## ANNEX C: EVALUATION QUESTIONS

*This is a generic list, to be further detailed with more specific questions by UNITAR based on the particulars of the project.*

Evaluative Criteria Questions	Indicators	Sources	Methodology
<b>Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</b>			
• Is the project reaching its intended users and relevant to the beneficiaries needs and priorities?	•	•	•
• To what extent is the project contributing to supporting Member States to implement Agenda 2030?	•	•	•
• To what extent has the project been relevant for advancing gender equality, the empowerment of women and meeting the needs of other groups made vulnerable?	•	•	•
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
• To what extent has the project contributed to determine the national requirements and needs for the ratification of the Minamata Convention?	•	•	•
• To what extent has the project contributed to create a foundation to undertake future work towards the implementation of the Minamata Convention?	•	•	•
• To what extent has the project contributed to create an enabling environment to strengthen national decision-making for the ratification of the Minamata Convention?	•	•	•
• What factors have influences the achievement or non-achievement of the project's objectives?		•	•
• To what extent were a human-rights based approach and a gender mainstreaming strategy incorporated in the design and implementation of the project?		•	•
• To what extent has the project been successful in supporting the partner countries beneficiaries' in applying their knowledge and skills to undertake Mercury inventories?		•	•
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
• To what extent have the outputs been produced in a cost-efficient manner in comparison with alternative approaches?	•	•	•
• Were the objectives achieved on time?	•	•	•
• How efficient are the management arrangements?	•	•	•
<b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b>			
• To what extent are the results likely to endure beyond the implementation of the activities?	•	•	•
• What is the likelihood that the benefits of the project will continue after funding ceases in the mid- and long-term?	•	•	•
•	•	•	•

**Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?**

• What real difference has the project made with regards to environmental and health impacts of Mercury?	•	•	•
•	•	•	•

## ANNEX D: RATING SCALES

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



## ANNEX E: EVALUATION CONSULTANT CODE OF CONDUCT AND AGREEMENT FORM

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### Evaluators:

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

### Evaluation Consultant Agreement Form<sup>44</sup>

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

Name of Consultant: \_\_\_\_\_

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at *place* on *date*

Signature: \_\_\_\_\_

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<sup>44</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)

## ANNEX F: EVALUATION REPORT OUTLINE<sup>45</sup>

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- i.** Opening page:
  - Title of UNDP supported GEF financed project
  - UNDP and GEF project ID#s.
  - Evaluation time frame and date of evaluation report
  - Region and countries included in the project
  - GEF Operational Program/Strategic Program
  - Implementing Partner and other project partners
  - Evaluation team members
  - Acknowledgements
- ii.** Executive Summary
  - Project Summary Table
  - Project Description (brief)
  - Evaluation Rating Table
  - Summary of conclusions, recommendations and lessons
- iii.** Acronyms and Abbreviations  
(See: UNDP Editorial Manual<sup>46</sup>)
- 1.** Introduction
  - Purpose of the evaluation
  - Scope & Methodology
  - Structure of the evaluation report
- 2.** Project description and development context
  - Project start and duration
  - Problems that the project sought to address
  - Immediate and development objectives of the project
  - Baseline Indicators established
  - Main stakeholders
  - Expected Results
- 3.** Findings  
(In addition to a descriptive assessment, all criteria marked with (\*) must be rated<sup>47</sup>)
- 3.1** Project Design / Formulation
  - Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
  - Assumptions and Risks
  - Lessons from other relevant projects (e.g., same focal area) incorporated into project design
  - Planned stakeholder participation
  - Replication approach
  - UNDP comparative advantage
  - Linkages between project and other interventions within the sector
  - Management arrangements
- 3.2** Project Implementation
  - Adaptive management (changes to the project design and project outputs during implementation)
  - Partnership arrangements (with relevant stakeholders involved in the country/region)
  - Feedback from M&E activities used for adaptive management
  - Project Finance:
  - Monitoring and evaluation: design at entry and implementation (\*)
  - UNDP and Implementing Partner implementation / execution (\*) coordination, and operational issues
- 3.3** Project Results

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<sup>45</sup>The Report length should not exceed 20-30 pages in total (not including annexes).

<sup>46</sup> UNDP Style Manual, Office of Communications, Partnerships Bureau, updated November 2008

<sup>47</sup> Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory, see section 3.5, page 37 for ratings explanations.

- Overall results (attainment of objectives) (\*)
  - Relevance(\*)
  - Effectiveness & Efficiency (\*)
  - Country ownership
  - Mainstreaming
  - Sustainability (\*)
  - Impact
4. Conclusions, Recommendations & Lessons
- Corrective actions for the design, implementation, monitoring and evaluation of the project
  - Actions to follow up or reinforce initial benefits from the project
  - Proposals for future directions underlining main objectives
  - Best and worst practices in addressing issues relating to relevance, performance and success
5. Annexes
- ToR
  - Itinerary
  - List of persons interviewed
  - Summary of field visits
  - List of documents reviewed
  - Evaluation Question Matrix
  - Questionnaire used and summary of results
  - Evaluation Consultant Agreement Form

**ANNEX G: EVALUATION REPORT CLEARANCE FORM**

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*(to be completed by UNITAR and UNDP GEF Technical Adviser based in the region and included in the final document)*

Evaluation Report Reviewed and Cleared by	
UNITAR	
Name: _____	
Signature: _____	Date: _____
UNDP GEF RTA	
Name: _____	
Signature: _____	Date: _____

## 2. List of persons interviewed

1. Oliver Wootton, Training Associate, Mercury Portfolio Coordinator, Chemicals and Waste Management Programme, UNITAR, Geneva
2. Etienne Gonin, *UNDP*-GEF Regional Technical Advisor, Istanbul, Turkey - *UNDP* Focal Point for Global MIA Project
3. Jakob Maag, Senior Expert on Mercury, UNITAR
4. Angela Guillemot Montejo, Research Assistant CWM & Global MIA Project Manager, UNITAR
5. Dr. Masud Iqbal MD Shameem, Director, Department of Environment, Bangladesh; National project coordinator
6. Dr. Tanvir Ahmed, Associate Professor, Department of Civil Engineering, BUET, Bangladesh; Inventory expert
7. Dr. Shahriar Hossain, Secretary General and Technical Advisor, ESDO, Executive Vice President, World Alliance
8. Viriato Luis Soares Cassama, General Director, Ministry of Environment and Sustainable Development, Guinea Bissau, National project coordinator
9. Julio Biquer, Consultant, Inventory Expert, Ministry of Environment and Sustainable Development
10. Laurentino Rufino Cunha, Director, Urban Environment, State Secretariat for the Environment
11. Sidi Aloueimine, Directeur, Ministère de l'Environnement et du Développement Durable, Direction des Pollutions et des Urgences Environnementales, Mauritania, National project coordinator
12. Abacar Manetoullah, Ministère de l'Environnement et du Développement Durable, Cabinet du Ministre, Mauritania, Inventory expert
13. Laura Daniela Ferrao Noe Nhantumbo, National Project Coordinator, Ministry of Land, Environment, and Rural Development, Mozambique
14. Ms. Natacha Cardoso de Alma, Consultant NAP Mining Sector
15. Ms. Fiasosoitamalii Siaosi, NPC for the MIA Project; Principal Chemical and Hazardous Waste Officer, Division of Environment and Conservation, Ministry of Natural Resources and Environment, Samoa
16. Dr. Taema Iomi-Seuoti, Inventory Consultant and Lead producer of the Final MIA Report 2018, Associate Professor of Environmental Science; Senior Lecturer, National University of Samoa

### 3. Documents reviewed

- BRTC BUET. 2018. Minamata Initial Assessment Project. Inception Report. Dhaka.
- Direction des Pollutions et des Urgences Environnementales. 2018. Evaluation Initiale de la Convention de Minamata sur le Mercure en Mauritanie. Ministère de l'Environnement et du Développement Durable. République Islamique de Mauritanie. Nouakchott.
- ESDO. 2019. Report on Public Response in Mercury Related Posts on Social Media. Dhaka.
- GEF. 2014. Initial Guidelines for Enabling Activities for The Minamata Convention on Mercury. GEF/C.45/Inf.05/Rev.01. Washington.
- GEF. 2015. GEF Secretariat Review for Direct Access to Enabling Activity. Washington.
- GEF. 2018. Report of the Global Environment Facility to the Second Meeting of the Conference of the Parties to the Minamata Convention on Mercury. Washington.
- Government of the People's Republic of Bangladesh. 2017. Eradicating poverty and promoting prosperity in a changing world. Dhaka.
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- Ministry of Land, Environment and Rural development (MITADER). 2018. National Inventory of Mercury Releases in Mozambique. Draft. Maputo.
- Ministry of Land, Environment and Rural Development of Mozambique. 2018. Relatório do Workshop do Lançamento do Projecto 'Fortalecer a tomada de decisão nacional para a ratificação da Convenção de Minamata e capacitação para a implementação de futuras disposições em Mozambique'. Maputo.
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- Ministry of Natural Resources and Environment. 2018. Minamata Convention on Mercury. Initial Assessment Report for Samoa. Apia.
- République de Guinée. 2018. Contribution nationale volontaire à la mise en œuvre des ODD au forum politique de haut niveau - New-York, juillet 2018. Rapport national. Bissau.
- State Secretariat of Environment. 2019. Minamata Initial Assessment Report for Guinea-Bissau. Ministry of Environment and Sustainable Development. Bissau.
- UN Environment. 2013. Toolkit for Identification and Quantification of Mercury Releases Reference Report and Guideline for Inventory Level 1 Version 1.2. Nairobi.
- UN Environment. 2017. Toolkit for Identification and Quantification of Mercury Releases Reference Report and Guideline for Inventory Level 2 Version 1.4. Nairobi.
- UNDP. 2012. Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed Projects. New York.
- UNDP. 2015. Project Document "Strengthen National Decision Making towards Ratification of the Minamata Convention and build capacity towards implementation of future provisions". New York.
- UNDP. 2017. Minamata Initial Assessment Report Suggested Structure and Contents. New York.
- UNDP. UNITAR. 2015. Project Cooperation Agreement. C.2015.TARCW005.UNDP. Geneva.
- UNEP. 2013. Minamata Convention on Mercury. Text and Annexes. Nairobi.
- UNIDO. 2018. UNIDO Mercury programme. COP 2 - Joint side event UNIDO – Switzerland on regional approaches for mercury waste management & ASGM. Geneva.
- UNITAR. 2015. Mercury Inventories – Global MIA. Training Plan. Geneva.
- UNITAR. 2016. Letter of Agreement between The Ministry of Environment and Sustainable Development of Mauritania and UNITAR. Geneva.
- UNITAR. 2016. Letter of Agreement between The Ministry of Natural Resources and Environment of Samoa and UNITAR. Geneva.
- UNITAR. 2016. Letter of Agreement between The Secretariat of State for the Environment of Guinea Bissau and UNITAR. Geneva.
- UNITAR. 2017. Letter of Agreement between EDR and UNITAR. Geneva.
- UNITAR. 2017. Letter of Agreement between The Ministry of Land, Environment and Rural Development of Mozambique and UNITAR. Geneva.
- UNITAR. 2017. Letter of Agreement. Amendment 1. C.2015.TARCW005.UNDP\_A1. Geneva.
- UNITAR. 2017. Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions. Second Progress Report (April 2016 -

January 2017) by UNITAR to UNDP on the Project Cooperation Agreement C.2015.TARCW005.UNDP. Geneva.

- UNITAR. 2017. Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions. Progress Report. 1 February 2017-17 November 2017. Geneva.
- UNITAR. 2018. Letter of Agreement. Amendment 2. C.2015.TARCW005.UNDP\_A2. Geneva.
- UNITAR. 2019. Background document: Discussion on lessons-learned. Inception and Training Workshop of the Project Minamata Initial Assessment. Istanbul.
- UNITAR. 2019. Strengthen National Decision Making Towards Ratification of the Minamata Convention and Build Capacity Towards Implementation of Future Provisions. Project overview. Geneva.
- UNITAR. 2017. Monitoring and Evaluation Policy Framework. Geneva.

## 4. Evaluation Survey

This annex presents the results of an online survey conducted to gather perspectives and feedback on the relevance and performance of the Global MIA Project. The survey questionnaire was developed in collaboration with UNITAR Evaluation Office. The questionnaire built on the project logframe with a view to return an assessment of the project outputs and outcomes. The questionnaire made room to open ended questions to collect qualitative insights, including pending needs and possible future directions for the project. The questionnaire was made available in English and French.

The survey was anonymous and remained open for 2 weeks, from 19 June to 3 July 2019. The survey was disseminated to a convenient sample of country partners and stakeholders who were involved in activities implemented by the project. The survey was launched to 38 target informants and was completed by 17 respondents. The response rate to the survey was 45%.

The methodology used to disseminate the survey involved convenient sampling and potential non-response biases. Therefore, the survey did not aim for a sample that would be statistically representative of the entire population that participated in or benefited from the project. The below findings are based on the opinion of the respondents and do not necessarily represent the opinion of the entire population covered by the project.

### A. Assessment of the Global MIA Project Activities

#### 1. Did you attend any of the training events organized by the Global MIA project?

Answer Choices	Responses	
	Percentage	Number
Yes	70,59%	12
No	29,41%	5

#### a. How relevant to your learning needs were the training activities in support to your work on the Minamata Convention?

Answer Choices	Responses	
	Percentage	Number
Very relevant	75,00%	9
Relevant	25,00%	3
Average	0,00%	0
Irrelevant	0,00%	0
Very irrelevant	0,00%	0
Do not know/Not appropriate	0,00%	0

#### b. How effective were the training activities to respond to your learning needs to support your work on the Minamata Convention?

Answer Choices	Responses	
	Percentage	Number
Very effective	75,00%	9
Effective	25,00%	3
Average	0,00%	0



Ineffective	0,00%	0
Very ineffective	0,00%	0
Do not know/Not appropriate	0,00%	0

**Any Comments?**

- My work on the Minamata Convention was possible grace the training activities (especially toolkit)

**c. Have you applied the knowledge or skills from the training(s) to undertake Mercury inventories?**

Answer Choices	Responses	
	Percentage	Number
Yes	91,67%	11
No	8,33%	1

**d. If you have used the knowledge or skills from the training, could you share any specific examples of application?**

- Using the Toolkit for calculation of emissions
- I work mainly in the Project Coordination unit, and my role was to assist the consultant and her team in providing relevant information they collected and needed for the inventory of mercury.
- I work mainly in the Project Coordination unit, and our role was to assist the consultant and her team in providing information they collected for the inventory.
- l'évaluation de l'impact environnemental du secteur de l'orpaillage en Mauritanie
- From the training, learnt how to use Mercury Inventory Toolkit 1 and 2
- Using different segments of the excel database.
- How to use the toolkits (Guideline, electronic spreadsheet e report template) and to understand the globality of project.
- Since I am with the Project Coordination unit, i was assisting the Inventory team in collecting information, and provide government support to organisations that has the info we needed for the inventory.
- Application on the Toolkit

**2. Have you received any direct country-based technical assistance or advisory support from UNITAR or UNDP staff or international consultants on the Minamata Convention?**

Answer Choices	Responses	
	Percentage	Number
Yes	75,00%	12
No	25,00%	4

**a. How relevant to your work on the Minamata Convention was the technical assistance or advisory support provided in your country by UNITAR or UNDP staff or international consultants?**

Answer Choices	Responses	
	Percentage	Number
Very relevant	75,00%	9

Relevant	16,67%	2
Average	0,00%	0
Irrelevant	0,00%	0
Very irrelevant	0,00%	0
Do not know/Not appropriate	8,33%	1

- b. How effective was the technical assistance or advisory support provided in your country by UNITAR or UNDP staff or international consultants?

Answer Choices	Responses	
	Percentage	Number
Very effective	66,67%	8
Effective	25,00%	3
Average	0,00%	0
Ineffective	0,00%	0
Very ineffective	0,00%	0
Do not know/Not appropriate	8,33%	1

**Any Comments?**

- UNITAR through their inventory specialist that was always present he was very helpful, the team sent to Bissau and the project Director in Bissau.
- Their expertise in mercury management were very helpful and supports us in implementing mercury activities.

3. Have you received any technical assistance or advisory support remotely from UNITAR or UNDP during the project?

Answer Choices	Responses	
	Percentage	Number
Yes	62,50%	10
No	37,50%	6

- a. How relevant was the technical assistance or advisory support provided remotely by UNITAR or UNDP to support your work on the Minamata Convention?

Answer Choices	Responses	
	Percentage	Number
Very relevant	80,00%	8
Relevant	20,00%	2
Average	0,00%	0
Irrelevant	0,00%	0
Very irrelevant	0,00%	0
Do not know/Not appropriate	0,00%	0

- b. How effective was the technical assistance or advisory support provided remotely from UNITAR or UNDP to support your work on the Minamata Convention?

Answer Choices	Responses	
	Percentage	Number
Very effective	80,00%	8
Effective	20,00%	2
Average	0,00%	0
Ineffective	0,00%	0
Very ineffective	0,00%	0
Do not know/Not appropriate	0,00%	0

**Any Comments?**

- UNITAR through their inventory specialist that was always present he was very helpful, the team sent to Bissau and the project Director in Bissau.

4. Have you used any UNITAR or UNDP knowledge resources, guidelines, publications, templates, etc. during the project?

Answer Choices	Responses	
	Percentage	Number
Yes	75,00%	12
No	25,00%	4

- a. How useful were the knowledge resources, guidelines, publications, templates, etc. provided by UNDP or UNITAR to support your work on the Minamata Convention?

Answer Choices	Responses	
	Percentage	Number
Very useful	91,67%	11
Useful	8,33%	1
Average	0,00%	0
Useless	0,00%	0
Very useless	0,00%	0
Do not know/Not appropriate	0,00%	0

**Any Comments?**

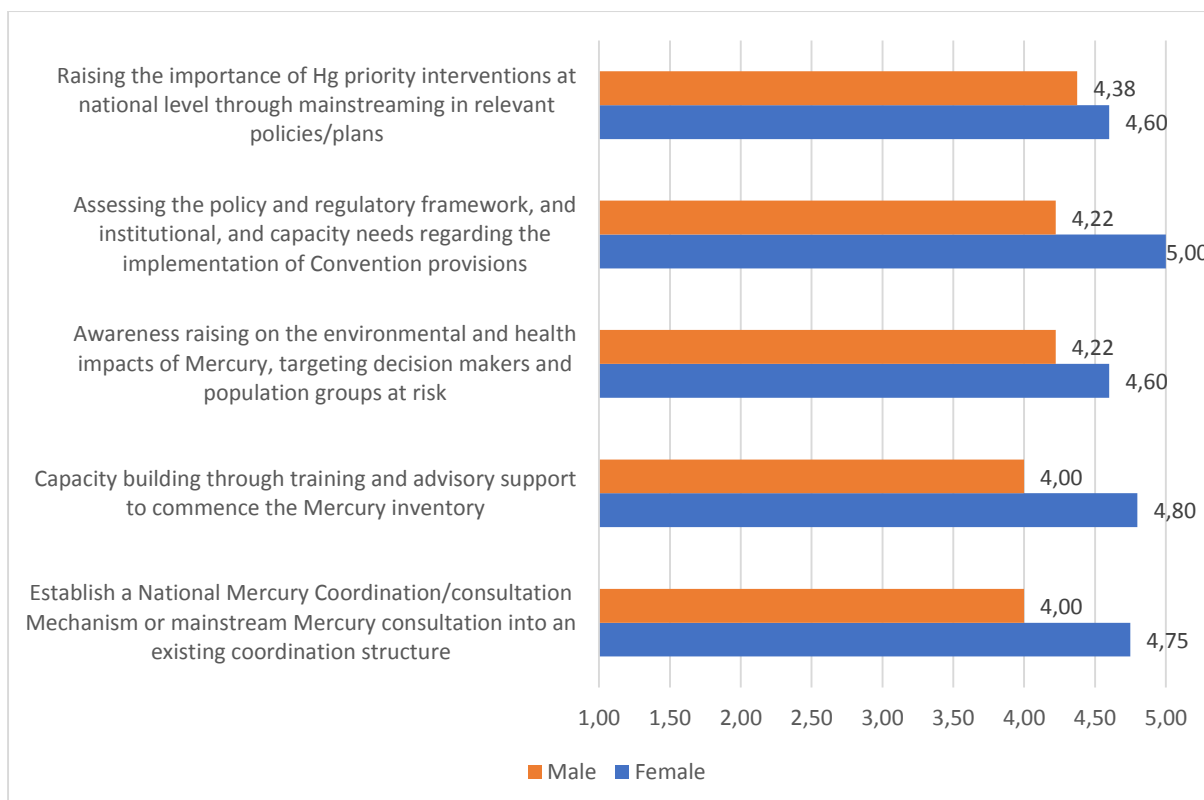
- The templates and other guidelines provided by UNITAR was helpful to us in putting together our Final MIA report
- Those toolkits (Guideline, electronic spreadsheet, report template) were very helpful for me during my Minamata Convention Work. The Guideline to understand the globality of project, the date that need and their specificity, error margins, how proceed if there are the date problems and why you need that date and how that will be use in the electronic spreadsheet. The electronic spreadsheet to the automatic calculations. The report template to write the report. And others like letters template, Mooc (video courses)

**B. Assessment of the Global MIA Project Immediate Outcomes**

5. In your opinion, how effective has been the Global MIA Project in contributing to achieve the following immediate outcomes in your country?

	Very effective	Effective	Average	Ineffective	Very ineffective	Do not know/Not applicable	Total
Establish a National Mercury Coordination/consultation Mechanism or mainstream Mercury consultation into an existing coordination structure	35,71%	35,71%	14,29%	0,00%	0,00%	14,29%	14
Capacity building through training and advisory support to commence the Mercury inventory	42,86%	35,71%	14,29%	0,00%	0,00%	7,14%	14
Awareness raising on the environmental and health impacts of Mercury, targeting decision makers and population groups at risk	57,14%	21,43%	21,43%	0,00%	0,00%	0,00%	14
Assessing the policy and regulatory framework, and institutional, and capacity needs regarding the implementation of Convention provisions	71,43%	7,14%	21,43%	0,00%	0,00%	0,00%	14
Raising the importance of Hg priority interventions at national level through mainstreaming in relevant policies/plans	61,54%	23,08%	15,38%	0,00%	0,00%	0,00%	13

A disaggregation of the responses by gender shows that women assessed more positively the effectiveness of the project over the proposed outcomes areas (Figure a).



**Figure a: Results disaggregated by gender<sup>48</sup>: How effective has been the Global MIA Project in contributing to achieve the following immediate outcomes in your country?**

## 6. In your opinion, what factors have influenced the achievement of the project's objectives?

- Availability of resources and information with regards to the project
- Some organisations where relevant information needed was hard to contact and approach due to their internal process of releasing the info. The legal process on consultant procurement was a lengthy one which delayed some of our due dates.
- -Information et sensibilisation de toutes les parties prenantes sur les risques et dangers liées à l'utilisation du mercure .
- The institutional and technical engagement of the parties involved in seeing this issue resolved as soon as possible are the factors that have influenced the achievement of the objectives of the project
- All the objectives have not been fulfilled properly yet. National Mercury Inventory and profile have been prepared. The training was very effective to perform the analytical work and prepare the report. Apart from that, more time is needed to include regulations of Minamata convention into the national legislative areas. Besides, interest of the government regulatory bodies is needed to achieve capacity building.
- Awareness on impact of Mercury
- The positive push to develop national database.
- The evidences presented by the Mercury inventory  
The campaign to raise awareness and awareness of political authors  
Implication of de politic actors

<sup>48</sup> Analysis based on conversion of Likert scales into indices from 1 (Very ineffective) to 5 (Very effective).

- Technical capacity and responsibility of the PUM team; quality and commitment of the consultants' team, ongoing support from the UNITAR team and the UNDP country office; involvement of the Government of Guinea-Bissau and the Parliamentarians in the Project MIA
- Availability of resources and efficiency of the support from UNITAR and UN

**7. In your opinion, what factors have influenced the non-achievement of the project's objectives?**

- Availability of data or information
- Insufficient human resources  
Overtuned of staff and lack of expertise knowledge in mercury management  
Not enough public awareness campaign
- La non disponibilité d'un système de surveillance de l'environnement et de contrôle sanitaire, avec une concentration sur le mercure.
- Lack of data
- More training for consultant and actors involved  
No accessibility of all materials in Portuguese
- None
- Availability of resources, efficiency of the support from UNITAR

**8. What could have made the project more effective?**

- More workshops and seminars
- Strengthen the collaboration between government ministries and relevant key stakeholders  
Improve public awareness campaign especially on the main impacts of mercury wastes to environment and health
- Un appui technique au gouvernement pour aider à l'élaboration et la mise en œuvre des plans régionaux visant à réduire l'utilisation du mercure
- What could have made the project more effective? I think we had little training time and discussions with all the stakeholders involved and with different communities that make up the vast social and cultural fabric of the country could certainly make the project more effective
- In-depth study on specific item(s)/sector(s)
- More training for consultant and actors involved  
Accessibility of all materials in Portuguese
- Most of the programmed results were achieved in due time. Direct beneficiaries were sensitized and macro policies were mainstreamed. At the end, the Guinea-Bissau Mercury Action Plan was drawn up. The Project contributes to Guinea-Bissau's ratification of the Minamata Convention on Mercury
- More awareness and publicity to the community or community outreach.

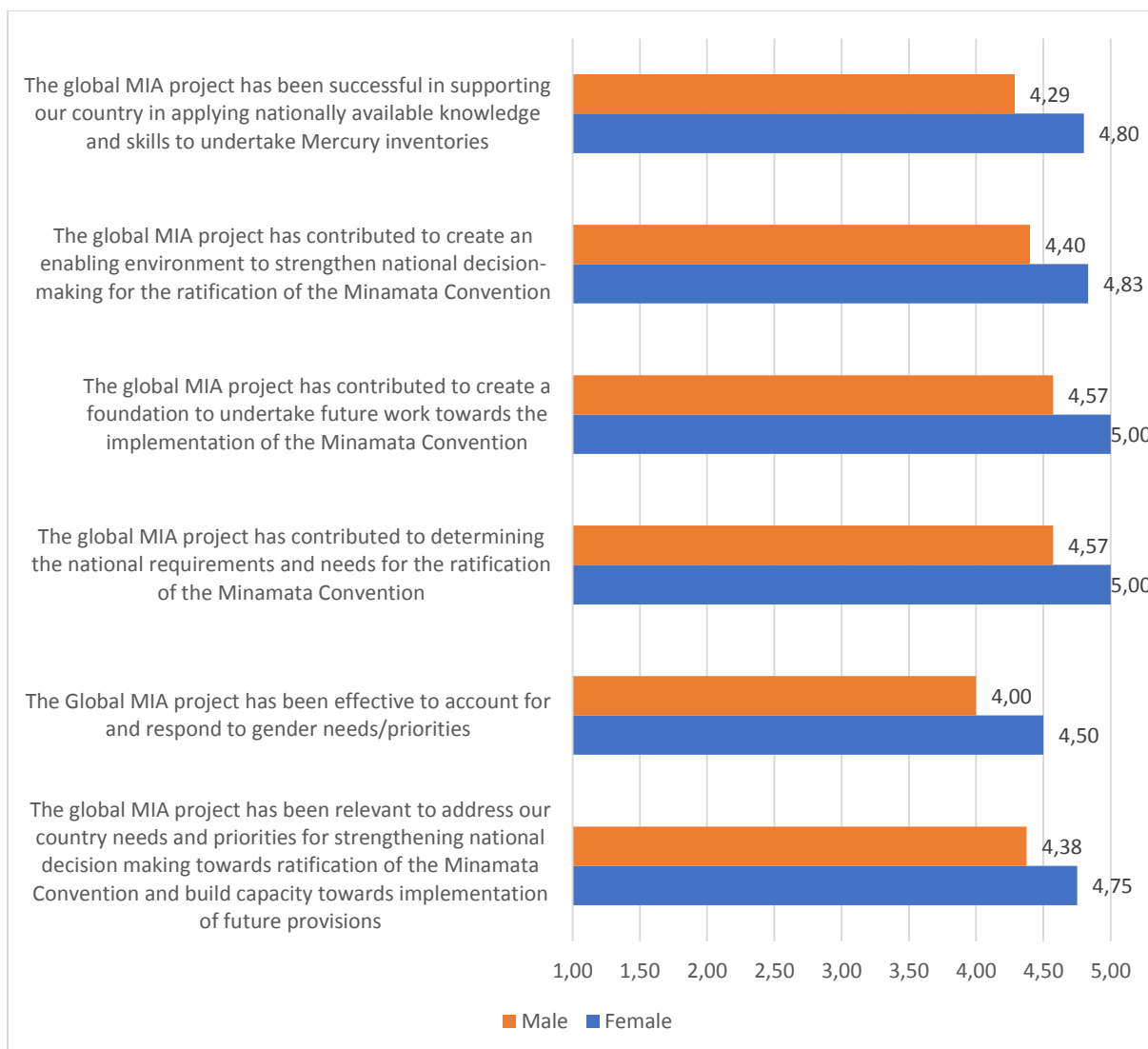
**C. Assessment of the Global MIA Project Longer-term Outcomes**

**9. Please, let us know what is your level of agreement with the following statements on the Global MIA project?**

	Fully agree	Agree	Neutral	Disagree	Fully disagree	Do not know/Not applicable	Total

The global MIA project has been relevant to address our country needs and priorities for strengthening national decision making towards ratification of the Minamata Convention and build capacity towards implementation of future provisions	50,00%	28,57%	7,14%	0,00%	0,00%	14,29%	14
The Global MIA project has been effective to account for and respond to gender needs/priorities	30,77%	38,46%	15,38%	0,00%	0,00%	15,38%	13
The global MIA project has contributed to determining the national requirements and needs for the ratification of the Minamata Convention	69,23%	23,08%	0,00%	0,00%	0,00%	7,69%	13
The global MIA project has contributed to create a foundation to undertake future work towards the implementation of the Minamata Convention	61,54%	23,08%	0,00%	0,00%	0,00%	15,38%	13
The global MIA project has contributed to create an enabling environment to strengthen national decision-making for the ratification of the Minamata Convention	57,14%	28,57%	7,14%	0,00%	0,00%	7,14%	14
The global MIA project has been successful in supporting our country in applying nationally available knowledge and skills to undertake Mercury inventories	61,54%	15,38%	15,38%	0,00%	0,00%	7,69%	13

A disaggregation of the responses by gender shows that women assessed more positively the effectiveness of the project over the proposed outcomes areas (Figure b).



**Figure b: Results disaggregated by gender<sup>49</sup>: What is your level of agreement with the following statements on the Global MIA project?**

**10. Could you please provide some examples or anecdotal evidence of the difference the project has made with regards to environmental and health impacts of Mercury?**

- Public awareness and Community outreach
- We were able to identify our priorities in terms of capacity building and sharing of information, resources and knowledge. Financial mechanism and technical assistance gaps were able to identify to assist our management implementation of mercury issues in the country.
- après interdiction de leur fabrication, de leur importation et de leur exportation, des thermomètres et des sphygmomanomètres à mercure, des cosmétiques – savons et crèmes de dépigmentation en particulier – et des antiseptiques locaux contenant du mercure
- In my opinion the project brings out something that many were unaware of. That is, the risks associated with the use of mercury or mercury-containing products or the

<sup>49</sup> Analysis based on conversion of Likert scales into indices from 1 (Fully disagree) to 5 (Fully agree).



extent to which an individual use of a mercury-containing product is harmful to the environment and to health.

- Now the country has a baseline database
- The project has helped with awareness of mercury use and the devices containing them and care and treatment of waste.
- The music developed during the sensitization campaign allowed the general public to know the impacts of mercury and mercury-containing by-products on public health, especially on skin color change products (eg in the local language (CREOLO) we call USALI - Skin of Mercury)
- Reinforcement of regulations and policies with regards to the importation and exportation of goods and products that contains mercury and related compounds.

#### 11. Any final comments?

- I would like to acknowledge the support from UNITAR and UNDP assisting us to complete MIA Project which enabled us to finalise and complete our National MIA Report 2018
- Finally, in the MIA report in which I contributed a lot, we defined a set of priorities and / or needs of the country and all we wanted to be able to see these issues resolved even partially or in stages. I also wish to acknowledge the opportunities and all the support given to the country and me in particular in the preparation of the MIA report and hope to have more opportunities in the future in order to contribute to the effective implementation of the Minamata Convention in my country and at the level global.
- It is a very good initiative to create awareness and develop baseline database at national level
- The project has very helped my country and it can do more if there is more support and follow-up
- It was a good project for Guinea-Bissau because it allowed us to ratify the Minamata Convention on Mercury, thus becoming part of this Convention. The Guinean community came to know the real problems related to the use of products containing mercury and the care to deal with this product have been redoubled
- Global MIA project is an eye opener and I personally commend the UNITAR and UNDP for taking the lead and considering the impact of such chemicals in the environment and human health.

### D. Your Profile

#### 12. Which is your professional affiliation?

Answer Choices	Responses	
	Percentage	Number
Academia	35,71%	5
National Government	50,00%	7
Local Government	0,00%	0
State Government	7,14%	1
NGO	0,00%	0
Private Sector	0,00%	0
Regional organization	0,00%	0
UN/UN System	0,00%	0

UN/UN System (locally recruited)	7,14%	1
International organization (non UN)	0,00%	0
Other	0,00%	0

**13. Which is your gender?**

Answer Choices	Responses	
	Percentage	Number
Male	64,29%	9
Female	35,71%	5
Intersex	0,00%	0
Transgender	0,00%	0
Gender not further defined or classified	0,00%	0
I do not wish to report	0,00%	0

**14. Please indicate your nationality**

Answer Choices	Responses	
	Percentage	Number
Mauritania	28,57%	4
Bangladesh	21,43%	3
Guinea-Bissau	21,43%	3
Samoa	21,43%	3
Mozambique	7,14%	1

## 5. Evaluation Questions Matrix

Evaluative Criteria Questions	Indicators	Sources	Methodology
<b>Relevance: How did the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?</b>			
<ul style="list-style-type: none"> <li>Did the project reach its intended users and relevant to the beneficiaries needs and priorities?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of alignment between the project objectives and framework and Global policies and directives related to the Convention</li> <li>Evidence of alignment between expressed needs, priorities and requests of partners and stakeholders (reports, decisions, resolutions and other requests) with the project (initiatives, organization structure, resource allocation, etc).</li> <li>Degree of satisfaction of key partners and stakeholders with the alignment and response to needs.</li> </ul>	<ul style="list-style-type: none"> <li>Project reports</li> <li>Project manager and staff, partners (ministries) and stakeholders (private sector, CSOs), the GEF</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>To what extent did the project contribute to supporting Member States to implement Agenda 2030?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of alignment between the project objectives and framework and the SDGs</li> </ul>	<ul style="list-style-type: none"> <li>SDG indicators</li> <li>Project manager and staff, partners (ministries)</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>To what extent has the project been relevant for advancing gender equality, the empowerment of women and meeting the needs of other groups made vulnerable?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of alignment between the project objectives and framework and gender and HRB frameworks (global, UNDP, UNITAR, the GEF, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Project reports</li> <li>Project manager and staff, partners (ministries) and stakeholders (private sector, CSOs)</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<b>Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?</b>			
<ul style="list-style-type: none"> <li>To what extent has the project contributed to determine the national requirements and needs for the ratification of the Minamata Convention?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of needs assessments</li> <li>Degree of satisfaction of key partners and stakeholders with the alignment and response to needs.</li> </ul>	<ul style="list-style-type: none"> <li>Project outputs and reports</li> <li>Governments' decisions/decrees, meeting minutes, etc.</li> <li>Excel files containing inventory data</li> <li>Mercury profile</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> <li>Survey</li> </ul>

		<ul style="list-style-type: none"> <li>Inputs from project manager and staff, partners (ministries) and stakeholders (private sector, CSOs), the GEF</li> </ul>	
<ul style="list-style-type: none"> <li>To what extent has the project contributed to create a foundation to undertake future work towards the implementation of the Minamata Convention?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of increased awareness on the adverse effects of mercury and Minamata Convention</li> <li>Evidence of new capacities (structures, organizations, institutions, knowledge, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Project outputs and reports</li> <li>MIA Report</li> <li>Partners' documentation (policies, etc.)</li> <li>Partners' inputs</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> <li>Survey</li> </ul>
<ul style="list-style-type: none"> <li>To what extent has the project contributed to create an enabling environment to strengthen national decision-making for the ratification of the Minamata Convention?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of MIAs and dissemination</li> <li>Changes resulting from the actions taken, as referred to by staff and key partners</li> <li>Number of direct references made by partners and other stakeholders on the effectiveness of the project Live to enhance their awareness, knowledge and understanding of Mercury issues</li> <li>Evidence of new capacities (structures, organizations, institutions, knowledge, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Project outputs and reports</li> <li>Awareness raising plan</li> <li>News articles (tv, newspaper, internet, etc.) and awareness raising materials (flyers, brochures, etc.)</li> <li>Partners' inputs</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> <li>Survey</li> </ul>
<ul style="list-style-type: none"> <li>What factors have influenced the achievement or non-achievement of the project's objectives?</li> </ul>	<ul style="list-style-type: none"> <li>References by partners of factors that have affected project implementation and performance (e.g. Organization and Management of the project, Human Resources Administration, Financial Resources Administration, Cooperation and Partnerships, Monitoring and Reporting, Human Rights and Gender, Communication and Knowledge Management)</li> <li>Unintended consequences of implementing the existing institutional arrangements and other</li> </ul>	<ul style="list-style-type: none"> <li>Project outputs and reports</li> <li>Partners' inputs</li> <li>The GEF</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> <li>Survey</li> </ul>

	elements, as referred to by staff and key partners		
<ul style="list-style-type: none"> <li>To what extent were a human-rights based approach and a gender mainstreaming strategy incorporated in the design and implementation of the project and the Minamata Initial Assessments?</li> </ul>	<ul style="list-style-type: none"> <li>Degree to which the project has integrated gender, and human rights considerations in the delivery of its activities using management tools and approaches for its activities and outputs</li> <li>Degree of implementation of the project's gender, and human rights action plans in its management tools and approaches</li> </ul>	<ul style="list-style-type: none"> <li>Project documents and reports</li> <li>Project staff and partners' inputs</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>To what extent has the project been successful in supporting the partner countries beneficiaries' in applying their knowledge and skills to undertake Mercury inventories?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of MIAs and dissemination</li> <li>Changes resulting from the actions taken, as referred to by staff and key partners</li> <li>Number of direct references made by partners and other stakeholders on the effectiveness of the project Live to enhance their awareness, knowledge and understanding of Mercury issues</li> <li>% of partner countries agreeing having applied knowledge and skills to undertake mercury inventories</li> </ul>	<ul style="list-style-type: none"> <li>Project outputs and reports</li> <li>Partners' inputs</li> <li>UNITAR's Event Management System</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> <li>Survey</li> </ul>
<b>Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?</b>			
<ul style="list-style-type: none"> <li>To what extent have the outputs been produced in a cost-efficient manner in comparison with alternative approaches?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of cost saving measures put in place; evidence of Resource Savings and Quality for Money</li> <li>References by staff and partners as evidence and examples of use of various elements to optimize the collective contributions of the various elements</li> <li>Evidence of systematic approach to optimize the collective contributions as documented by meetings, emails, retreats, and</li> </ul>	<ul style="list-style-type: none"> <li>Project manager and staff</li> <li>Partners</li> <li>Project reports</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>

	<p>implementation of approach etc</p> <ul style="list-style-type: none"> <li>References by staff as evidence and examples of use of various elements to optimize the collective contributions of the various elements</li> <li>References by the project team or partners and comparisons with alternative approaches</li> </ul>		
<ul style="list-style-type: none"> <li>Were the objectives achieved on time?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence in management reports and annual reports of achievement of target outputs and outcomes in project cycle</li> </ul>	<ul style="list-style-type: none"> <li>Project management and staff</li> <li>Partners</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>How efficient are the project management arrangements between both the implementing and executing partners as well as with the participating countries?</li> </ul>	<ul style="list-style-type: none"> <li>References by staff as evidence and examples of a contribution to the planning process.</li> <li>Existence of meeting notes, minutes and records</li> <li>Quality of internal coordination (mechanisms in place, incentives in place)</li> <li>Relative level of involvement/responsiveness of CO against need/what's required (global, regional, national)</li> </ul>	<ul style="list-style-type: none"> <li>Project management and staff</li> <li>Partners</li> <li>Meeting minutes</li> <li>Project reports</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<p><b>Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?</b></p>			
<ul style="list-style-type: none"> <li>To what extent are the results likely to endure beyond the implementation of the activities?</li> </ul>	<ul style="list-style-type: none"> <li>Evidence of new policies, legislative frameworks, guidelines, institutions, structures, etc.</li> <li>Evidence of new partnerships</li> <li>Evidence of new funding streams</li> </ul>	<ul style="list-style-type: none"> <li>Project manager and staff</li> <li>Partners</li> <li>Secondary resources (MOUs, partnerships agreements, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<ul style="list-style-type: none"> <li>What is the likelihood that the benefits of the project will continue after funding ceases in the mid- and long-term?</li> </ul>	<ul style="list-style-type: none"> <li>Incidences and type/depth of key external partners involvement in project (planning, implementation, at the right time/critical stage (when their input is needed/important))</li> </ul>	<ul style="list-style-type: none"> <li>Project manager and staff</li> <li>Partners</li> <li>Secondary resources (MOUs, partnerships agreements, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>Desk review</li> <li>Interviews</li> </ul>
<p><b>Impact: Are there indications that the project has contributed to, or enabled progress toward, reduced environmental stress and/or improved ecological status?</b></p>			

<ul style="list-style-type: none"> <li>• What real difference has the project made with regards to environmental and health impacts of Mercury?</li> </ul>	<ul style="list-style-type: none"> <li>• Changes resulting from the project actions taken, as referred to by staff and key partners</li> <li>• Number of direct references made by partners (ministries) and other stakeholders on the uptake of the project outputs (MIA, etc.) and impact on policy changes, with evidence or policy adoption and implementation</li> <li>• References to unintended consequences of implementing the project in monitoring reports</li> </ul>	<ul style="list-style-type: none"> <li>• Project manager and staff</li> <li>• Partners</li> <li>• Secondary resources (Hg priorities/activities reflected in relevant action/development plans and/or policies)</li> </ul>	<ul style="list-style-type: none"> <li>• Desk review</li> <li>• Interviews</li> <li>• Survey</li> </ul>
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## 6. Evaluation Consultant Code of Conduct and Agreement Form

### Evaluation Consultant Code of Conduct and Agreement Form

#### Evaluators:

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

#### Evaluation Consultant Agreement Form<sup>1</sup>

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

Name of Consultant: Patrick Breard

Name of Consultancy Organization (where relevant): \_\_\_\_\_

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

Signed at *Paris* on *12 July 2018*

Signature:  \_\_\_\_\_

<sup>1</sup>[www.unevaluation.org/unegcodeofconduct](http://www.unevaluation.org/unegcodeofconduct)



## 7: Evaluation Report Clearance Form

### 7: Evaluation Report Clearance Form

(to be completed by UNITAR and UNDP GEF Technical Adviser based in the region and included in the final document)

Evaluation Report Reviewed and Cleared by	
UNITAR	
Name: Brook Boyer, Director, Strategic Planning and Performance Division, Manager, Planning, Performance Monitoring and Evaluation Unit	
Signature: 	Date: 25/9/19
UNDP GEF RTA	
Name: _____	Date: _____
Signature: _____	Date: _____