

Terminal Evaluation of the UNEP Project
“Secretariat Services to the Strategic Approach to
International Chemicals Management - PIMS 02005”
(2018-2024)



Evaluation Office of the United Nations Environment Programme

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Secretariat Services to the Strategic Approach to International Chemicals Management

PIMS 02005

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About the Evaluation

Joint Evaluation: No

Report Language(s): English

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Brief Description: This report is the terminal evaluation of the UN Environment Programme (UNEP) project "Secretariat Services to the Strategic Approach to International Chemicals Management" (PIMS 02005). This project, which is the follow up of the SAICM project implemented between 2006 and 2015, was design to initiate an intersessional process to prepare recommendations regarding the Strategic Approach and the sound management of chemicals and waste beyond 2020. The terminal evaluation was undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The terminal evaluation had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and project partners and stakeholders.

Key words: Sound management of chemicals, ICCM5, SAICM, Conventions, beyond 2020

Primary data collection period: September to October 2024

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Table of contents

EXECUTIVE SUMMARY	10
1 INTRODUCTION.....	14
2 EVALUATION METHODS.....	15
3 THE PROJECT	17
3.1 Context	17
3.2 Results Framework.....	18
3.3 Stakeholders	18
3.4 Project implementation structure and partners	19
3.5 Changes in design during implementation	20
3.6 Project financing.....	21
4 THEORY OF CHANGE AT EVALUATION	23
5 EVALUATION FINDINGS.....	24
5.1 Strategic Relevance	24
5.2 Quality of Project Design.....	26
5.3 Nature of the External Context.....	27
5.4 Effectiveness.....	28
5.5 Financial Management.....	42
5.6 Efficiency.....	44
5.7 Monitoring and Reporting	45
5.8 Sustainability.....	46
5.9 Factors Affecting Performance and Cross-Cutting Issues.....	47
6 CONCLUSIONS AND RECOMMENDATIONS	51
6.1 Conclusions.....	51
6.2 Lessons learned.....	55
6.3 Recommendations.....	56
ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS	58
ANNEX II. EVALUATION FRAMEWORK/MATRIX	60
ANNEX III. PEOPLE CONSULTED DURING THE EVALUATION	65
ANNEX IV. KEY DOCUMENTS CONSULTED	66
ANNEX V. EVALUATION ITINERARY	67
ANNEX VI. BRIEF CV OF THE EVALUATOR	68
ANNEX VII. EVALUATION TORS (WITHOUT ANNEXES).....	70
ANNEX VIII. QUALITY ASSESSMENT OF THE EVALUATION REPORT	93

List of acronyms and abbreviations

BRS	Basel, Rotterdam and Stockholm Conventions
CEE	Central and Eastern Europe
COP	Conference of Parties
EF	Environment Fund
EOU	Evaluation Office of UNEP
EU	European Union
FAO	Food and Agriculture Organization
FMO	Fund Management Officer
GEF	Global Environment Facility
GFC	Global Framework on Chemicals
HCWH	Health Care Without Harm
HHP	Highly hazardous pesticide
ICCA	International Council of Chemical Associations
ICCM	International Conference for Chemicals Management
IGO	Intergovernmental Organization
ILO	International Labour Organization
IOMC	Inter-Organization for the Sound Management of Chemicals
IPEN	International Pollutants Elimination Network
MEA	Multilateral Environmental Agreement
MTS	Medium Term Strategy
NGO	Non-Governmental Organisation
NIP	National Implementation Plan
OECD	Organization for Economic and Development
PLF	Project Logical Framework
POP	Persistent Organic Pollutant
POW	Programme of Work
QSPTF	Quick Start Programme Trust Fund
SAICM	Strategic Approach to International Chemicals Management
SDG	Sustainable Development Goals
SIP	Specific International Programme
SMC	Sound Management of Chemicals
SNFP	SAICM National Focal Point
SP	Special Programme
TE	Terminal Evaluation
TF	Trust Fund
TOC	Theory of Change
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
VWG	Virtual Working Group
WHO	World Health Organization
XB	Extra-Budgetary [Funds]

Project identification

Table 1: Project Identification Table

UNEP PIMS ID/SMA ¹ ID:	Umoja no. 516.1 PIMS no. 02005 SMA ID: 37440	Grant ID ² (if applicable):	
UNEP Management (Division/Branch/Unit):	Economy Division		
External Executing Partners:	IPEN, ICCA, Zoi Environment Network & others		
Sources of Funding:	Country ³ (ies): Table 5 of TE report	Institution ⁴ Name/Type:	
Relevant SDG(s):	SDG Target 3.9: By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination. Indicators: 3.9.1 Mortality rate attributed to household and ambient air pollution (Tier I, custodian agency: WHO); 3.9.2 Mortality rate attributed to unsafe water, unsafe sanitation and lack of hygiene (Tier I, custodian agency: WHO); 3.9.3 Mortality rate attributed to unintentional poisoning (Tier I, custodian agency: WHO) SDG Target 6.3: By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally. Indicators: 6.3.1 Proportion of wastewater safely treated (Tier II, custodian agencies: WHO, UN-Habitat, UNSD); 6.3.2 Proportion of bodies of water with good ambient water quality (Tier II, custodian agency: UNEP) SDG Target 11.6: By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality and municipal and other waste management. Indicators: 11.6.1 Proportion of urban solid waste regularly collected and with adequate final discharge out of total urban solid waste generated, by cities (Tier II, custodian agency: UN-Habitat, UNSD); 11.6.2 Annual mean levels of fine particulate matter (e.g. PM2.5 and PM10) in cities (population weighted) (Tier I, custodian agency: WHO) The project revision continues to contribute to the SDG 12 on Responsible Consumption and Production by ensuring sustainable consumption and production patterns. Target 12.4: By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment. Indicator 12.4.1: Number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement		
MTS (all that apply):		UNEP approval date: May 2018	
POW Direct Outcome(s) number/reference (applicable for projects approved from 2022): OR POW Output(s) number/reference (applicable for projects approved pre-2022)	POW Direct Outcome: 3.1. Regional and national integrated policy has shifted towards the sound management of chemicals and waste. 3.5 Institutional capacity to adopt and act on national and international commitments is enhanced.	MTS 2025 Outcome(s) number/reference (applicable for projects approved from 2022): OR POW Expected Accomplishment(s) number/reference (applicable for projects approved pre-2022):	MTS 2025 Outcome: Outcome 1: Human health and environmental outcomes are optimized through enhanced capacity and leadership in the sound management of chemicals and waste Outcome 2: Waste management is improved, including through circular processes, safe recovery of secondary raw materials and progressive reduction of

¹ SMA refers to the ID provided by the Integrated Planning, Management and Reporting Solution (IPMR) system, which was introduced by UNEP in July 2023.

² For example, ID references from EC, IKI, UNDA, Adaptation Fund, GCF.

³ Where applicable, list countries who have provided project funds and/or co-finance.

⁴ Indicate where funding institutions are any/all of the following: Foundation/NGO; Private Sector; UN Body; Multilateral Fund; Environment Fund; Other.

UNEP PIMS ID/SMA¹ ID:	Umoja no. 516.1 PIMS no. 02005 SMA ID: 37440	Grant ID² (if applicable):	
	3.9. Use of harmful chemicals in products and processes is reduced in key sectors. 3.10. Collective action of United Nations system entities addresses sound management of chemicals and waste. 3.13. Sound science, data and statistics, analysis, information and knowledge are gathered and shared.		open burning and dump sites Outcome 3: Releases of pollutants to air, water, soil and the ocean are reduced
	<i>POW Output: 5(a)-6 Advisory, policy and coordination support services to secretariats of chemicals-related multilateral environmental agreements and the Strategic Approach to promote sound chemicals management</i>		<i>POW Expected Accomplishment: EA (a): Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM)</i>
Sub-programme:	Chemicals, Waste and Air Quality	Programme Coordination Project:	
Expected start date:	January 2018	Actual start date:	May 2018
Planned completion date:	December 2021	Actual operational completion date:	12/2024
Planned total project budget⁵ at approval:	\$7,348,868	Actual total expenditures reported as of [date]:	\$16,180,588
Planned Extra-budgetary Funds⁶:	Cash: \$6,122,721 In-kind: \$1,304,794	Secured Extra-budgetary Funds:	Cash: \$17,651,343 In-kind: \$ 2,140,783
		Actual Extra-budgetary Funds expenditures reported as of: Nov 2024	Cash: \$16,180,588
First disbursement:		Planned date of financial closure:	<i>Estimated 1 year after operational completion.</i>
No. of formal project revisions:	5	Date of last approved project revision:	June 2024
No. of Bureau meetings:	28	Date of last bureau meeting:	15 Jun 2024
Mid-term Review/ Evaluation (planned date):	03/2019	Mid-term Review/ Evaluation (actual date):	Not undertaken due to Covid19
Terminal Evaluation (planned date):	December 2021	Terminal Evaluation (actual date):	July 2024
Coverage – Implementing Country(ies):	Global	Coverage – Implementing Region(s):	Africa, Latin America and the Caribbean, Europe CEE, Asia and the Pacific
Dates of previous project phases:	2006 - 2015	Status of future project phases:	New Project Document for approval: 2024 - 2030

⁵ Total budget may include; Regular Budget, Environment Fund, Extra-Budgetary, including 'softly-earmarked' etc.

⁶ Extra-budgetary funds may include co-finance (cash/in-kind)

Executive Summary

Project background

1. The international chemical industry has grown dramatically since the 1970s. Studies, projecting trends to 2050, forecast that global chemical sales will grow about 3% every year to 2050. However, if not managed soundly throughout their life cycle, chemicals can have far-reaching adverse effects on the environment and human health and lead to substantial costs for national economies by impeding economic growth and disrupting social development. Recognizing this, governments targeted chemicals and wastes in a number of Sustainable Development Goals (SDGs) to reach the overall goal that “by 2020, chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment”. This “2020 goal” was adopted by Governments attending the World Summit on Sustainable Development in 2002 as part of the Johannesburg Plan of Implementation. To achieve this overall 2020 objective, the Strategic Approach to International Chemicals Management (SAICM) was adopted in 2006 with the aim of SAICM to provide a policy framework to protect human health and the environment and to achieve the 2020 Goal.

This evaluation

2. The Terminal Evaluation was based on a combination of: (i) in-depth desk review of documents related to the SAICM Project; (ii) mission to Switzerland to interview key stakeholders including the project team; (iii) remote interviews of other key stakeholders and (iv) information gathered through a survey questionnaire (either English or French). The evaluation covered the duration of the project from May 2018 to the end of December 2024.

Key findings

3. Based on the review of documents, discussions held, and the outcome of the survey, the following key findings have been identified:
 - Relevance: The project is fully aligned with UNEP Mid-Term Strategy (MTS), Programme of Work and Strategic Priorities. It is also aligned with the Donors’ Strategic Priorities and highly relevant to Global, Regional, Sub-regional and National Priorities.
 - Effectiveness: Assessment of this criteria was done at three levels: the availability of outputs, achievement of outcomes and likelihood of impact. The COVID-19 pandemic impacted severely implementation requiring adaptation through the undertaking of virtual working groups and the postponement of ICCM5. In the end, the outputs were all successfully delivered, and the establishment of the Knowledge Management Platform was a key milestone. The lengthy negotiations during the different meetings (Intersessional Process and Open-Ended Working Group) held led to the development of the text of the new instrument; the Global Framework on Chemicals that was adopted at the ICCM5 Conference held on 23 – 27 September 2023. The achievement of the project’s outcome was satisfactory. The targets for all the outcome indicators were met. The likelihood of impact was based on the extent to which the intermediate state proposed in the theory of change was emerging. The findings indicate that the intermediate state presents some challenges related to the non-availability of financial resources and low involvement of the private sector at national level, and full impact would take time and require more effort.
 - Efficiency: Despite the delays caused by the COVID-19 pandemic, all the deliverables were achieved within the planned budget. A number of factors that contributed to efficiency included donors’ regular contributions, stakeholders’ contributions and engagement, countries hosting meetings back-to-back meetings with other events, and teleconferences replacing face to face meetings during the pandemic and after. It is worth noting that the

back-to-back regional meetings with ICCM5 allowed a cost saving of about 33%, noting that the costs for all the meetings were about USD3.5 M.

- Sustainability: The probability of project results being maintained or further developed are considered moderately likely. While conditions exist for socio-political sustainability, risks have been identified that may jeopardize financial and institutional sustainability. Interviewees from developing countries mentioned that financial resources, not available locally, were the limiting factors to advance the sound management of chemicals agenda and further institutional strengthening is required for the sound management of chemicals and waste.
- Stakeholder Participation: While most of stakeholders including IOMC, and the participating organizations (UNITAR, ILO, WHO), IPEN, and ICCA were much engaged and contributed to the process, the evaluation found that there was limited involvement of many SAICM National Focal Points and insufficient information sharing.
- Project Management: The Bureau has consistently fulfilled its role in providing strategic direction and guidance to support effective implementation. The performance of the Secretariat has been widely recognized and highly appreciated by stakeholders. This reflects the dedication of the staff of the Secretariat, their effective collaboration, and ability to deliver meaningfully despite staffing constraints.
- Human rights and gender equity: While the gender equity was adequately addressed by involving women in the project at all levels, the human rights aspect was not assessed given the nature of the project where no interventions were carried out at country level. However, the human rights considerations have been addressed in the project document of the new framework.

Responses to strategic questions

a. *In what ways, and to what extent, have the nine participating organizations of the Inter-Organization for the Sound Management of Chemicals (IOMC) contributed to the prioritization and implementation of the SAICM Secretariat's activities?* The nine organizations of IOMC have played a vital role in advancing global efforts for sound chemicals management and waste. They provided expert insights and strategic guidance during consultations and negotiations for the new framework. Their expertise ensured that the new framework reflects international best practices and is aligned with global, regional and national priorities. They also undertook numerous initiatives to support developing countries and countries in transition, focusing on capacity building, policy development, and access to safer alternatives to hazardous chemicals such highly hazardous pesticides.

b. *To what extent does the monitoring of the SAICM Secretariat's project results framework cover activities carried out towards the achievement of the planned project outcome and impact?* The monitoring of the project results framework done by the Secretariat adequately covered activities carried out towards achieving planned project outcomes. The monitoring included the achievements of targets and milestones for outputs and the outcome. However, its ability to assess long-term impact remains limited.

c. *How is the SAICM Secretariat's work considered in the strategic landscape of chemicals and waste initiatives at country level?* Based on the survey carried out by the evaluation, SAICM is highly regarded at country level as it enabled capacity building and catalysed the actual sound management of chemicals and associated wastes in many countries. It fostered collaboration among national institutions and created national awareness. However, many highlighted the need for enhancing financial resource availability, as funds is not available locally, for the advancement of sound management of chemicals and long-term impact.

d. *What changes were made to adapt to the effects of COVID-19 and how did those changes affect the SAICM Secretariat project's performance?* The changes made by the SAICM Secretariat to adapt to COVID-19 that included virtual meetings and approval of programme of work and budget by the 'silent mode' allowed the project to maintain momentum under challenging circumstances.

e. *In view of the new Framework, which will supersede SAICM, what are the strategic lessons from the design and implementation of the project on enabling multistakeholder engagement and how could these be considered in the development of the Secretariat's new project and work plan?* Lessons learned include the inclusive stakeholder participation (governments, IOMC, IGOs, NGOs) during the consultations and negotiations that led to the new framework that is aligned with global, regional and national priorities and taking into account the needs of all stakeholders. Another lesson is the cross-sectoral collaboration between health, environment, and agriculture for effective capacity building in beneficiary countries. Jointly with WHO and in collaboration with UNEP and OECD, FAO is effectively supporting countries on the implementation of the International Code of Conduct on Pesticide Management. Other lesson learned is the flexibility and adaptability in the project design and implementation in using the hybrid mode (online and face-to-face meetings) that enabled the project to maintain momentum and allowing to address emerging priorities and stakeholder needs during the pandemic. Finally, securing sustainable funding mechanisms ensures the continuity of stakeholder engagement efforts is a lesson learned. Dependency on short-term project funding limited long-term engagement in many beneficiary countries, where financial resources were not available locally.

Conclusions

The overall performance of the project has been rated as 'Satisfactory'.

Criterion	Rating
Strategic Relevance	HS
Quality of Project Design	HS
Nature of External Context	F
Effectiveness	HS
Financial Management	S
Efficiency	S
Monitoring and Reporting	S
Sustainability	MU
Factors Affecting Performance	S
Overall Project Performance Rating	S

Lessons Learned

4. The following lessons stemmed out:

- Lesson 1: The inclusive stakeholder participation during the consultations and negotiations leads to successful outcome aligned with the priorities of all stakeholders. The negotiations to develop the new framework took longer than anticipated mainly due to the COVID19 and due to the inclusion of new emerging policy issues and the need to take into account the interests of all stakeholders. However, in the end the new framework that was developed involving all stakeholders (governments, IOMC, IGOs, NGOs, private sector, and industry) is aligned with global, regional and national priorities regarding the sound management of chemicals of waste.
- Lesson 2: The voluntary approach of SAICM has been widely applauded for fostering inclusivity and global collaboration. However, it may face significant challenges, such as inconsistent reporting by stakeholders and varying levels of commitment. The credibility of some of SAICM's activities, such as data needed to assess report would require credible and reliable inputs from a significant number of stakeholders. Many SAICM National Focal Points (more than 60%) did not respond to surveys done by the Secretariat.

- Lesson 3: On the condition of reliable internet connectivity, access to appropriate platforms for online participants, and availability of adequate logistics (computers, microphones, cameras), a hybrid approach, combining face-to-face and online modalities, provided an effective option for meetings, workshops, and stakeholder engagements. The benefits are flexibility, travel and accommodation reduction costs, time gain for participants, and minimization of carbon footprint among others.
- Lesson 4: Securing sustainable funding mechanisms ensures the continuity of stakeholder engagement efforts. Dependency on short-term project funding limited long-term engagement in many beneficiary countries, where financial resources were not available locally.
- Lesson 5: Cross-sectoral collaboration between health, environment, agriculture, and other sectors is an effective approach to build capacities of beneficiary countries. Jointly with WHO and in collaboration with UNEP and OECD, FAO is effectively supporting countries in the implementation of the International Code of Conduct on Pesticide Management. It is also focused on reducing the risks and impacts of highly hazardous pesticides (HHPs) by raising awareness, strengthening governance, supporting structural and technical capacities, and promoting viable alternatives to HHPs.

Recommendations

5. Recommendation 1: To ensure the independence of GFC and the Secretariat, the rules of procedure and governance should be explicitly applied in order to foster the perception of impartiality and to promote good governance.
6. Recommendation 2: Following ICCM5 Resolution V/7, the GFC Secretariat will develop draft guidelines for national focal points submitted for consideration of the Open-ended Working Group scheduled for 2025. It is recommended to include reporting and communication requirements in these guidelines.
7. Recommendation 3: A labour/health position has been created within the GFC Secretariat reflecting the growing need to address labour and health issues in the strategic approach for sound management of chemicals and waste. Where relevant, it is recommended that this officer should collaborate closely with ILO and WHO and encourage applications for the Global Framework on Chemicals Trust Fund (GFC TF) from these sectors.
8. Recommendation 4: Financial resource constraints were recognized as limited factors in achieving the 2020 goals, and capacity building in developing countries. It is recommended to implement the resource mobilization strategy proposed in the GFC project document.
9. Recommendation 5: A Knowledge Management Platform was established by the project, and it has ensured up-to-date information about SAICM and the QSP. No decision was taken about its future. It is recommended to build on this Platform for training, communication, advocacy and outreach of the GCF.
10. Recommendation 6: While the gender dimension was satisfactorily addressed, human rights were not assessed given the nature of the project with no interventions at country level. It is recommended that the Secretariat ensures that human rights and gender equity are fully considered during the implementation of projects funded by the GFC TF.

1 INTRODUCTION

11. This report presents the findings of the terminal evaluation (TE) of the UN Environment Programme (UNEP) project "Secretariat Services to the Strategic Approach to International Chemicals Management" (PIMS 02005).
12. The Secretariat was established in June 2006 to facilitate the implementation of the Strategic Approach to International Chemicals Management (SAICM), and the achievement of the sound management of chemicals throughout their life cycle so that by the year 2020, chemicals were produced and used in ways that minimize significant adverse impacts on the environment and human health.
13. More specifically, the Secretariat was to encourage the participation of a maximum number of countries and stakeholders to participate in the implementation of SAICM. It had to deliver a range of services spelt out in the SAICM Overarching Policy Strategy. These services included organising the International Conferences on Chemicals Management (ICCM) and the regional meetings, disseminating and sharing information. The Secretariat was also mandated to administer the Quick Start Programme (QSP) Trust Fund, designed to support governments from developing countries, countries with economies in transition, and small island states to build initial capacities for managing chemicals in a sustainable manner. The programme was initially to run from 2006-2009 and was extended to 2015.
14. The Secretariat was hosted in the Chemicals and Health Branch of UNEP and located in UNEP's offices in Geneva. The implementing partners of SAICM were UNEP, WHO and other members of the Inter-Organisation Programme for the Sound Management of Chemicals (IOMC) – UNIDO, UNITAR, ILO, FAO, OECD. The Secretariat of the Basel, Rotterdam and Stockholm Conventions (BRS Secretariat) also played a role as informal implementing partners. The project under evaluation is the extension of SAICM implemented during the period 2006 - 2018, retaining the same institutional structure, including its Secretariat and the implementing partners.
15. In line with UNEP's Evaluation Policy⁷ and the UNEP Programme and Project Management Manual, the TE was undertaken to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The TE was also to assess the performance of the project management team and governance arrangements in applying internationally accepted criteria. Factors affecting the performance of the project were also to be explored.
16. The TE had two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, IOMC, ICCA, IPEN, ICCA, and national and regional SAICM focal points. The Evaluation identified lessons of operational relevance for future project formulation and implementation, especially where a new phase of the project within the realm of the Global Framework on Chemicals (GFC), has been developed. Recommendations relevant to the whole house have also been identified during the evaluation process. The TE covered the whole duration of the project from its starting date on 11 May 2018 to the expected completion date in December 2024. Noting that the project was further extended to June 2025⁸.

⁷ UNEPs Evaluation Policy (revised October 2022) <https://wedocs.unep.org/handle/20.500.11822/41114>

⁸ At the start of the evaluation process, only four extensions were granted. During the evaluation process a 5th extension was granted.

2 EVALUATION METHODS

17. The terminal evaluation used a participatory approach whereby key stakeholders were kept informed and consulted throughout the review process. Both quantitative and qualitative evaluation methods were used as appropriate to determine project achievements against the expected outputs, outcome, and impact.
18. The TE was based on a desk review of documents, which comprised reports of all ICCM, Intersessional Process (IP), Open-ended working group (OEWG), virtual working group (VWG) and regional meetings and the information documents and annexes of these reports, progress reports of partners, and other relevant documents (Annex IV). An evaluation mission was undertaken to Geneva, Switzerland from 7 to 12 October 2024, during which ten key stakeholders and project partners were interviewed. Request for remote interviews was not very successful. 23 stakeholders (Bureau Vice-Presidents, Non-Governmental Bureau members, and SAICM Regional Focal Points) were contacted by email. Despite, soft reminders by the SAICM Secretariat only 10 responded to these requests (Annex III). A total of 21 interviews (which of eight males and 13 females) were undertaken.
19. To preserve the integrity of the evaluation process and enhance freedom of expression, interviewees were assured of the confidentiality of their input. In order to ensure the transparency, participation and confidentiality of information, the aim and objectives of the evaluation were communicated to the respondents at the beginning, and an interview tool with well-formulated open-ended questions was employed (Annex VIII) to generate high quality data.
20. Key main stakeholder groups were included. Throughout this evaluation process and in the compilation of the Final Evaluation Report, efforts have been made by the evaluator to represent the views of these groups. Given the nature of the project, which was to define and establish the new framework, Global Framework on Chemicals, through negotiations facilitated by the Secretariat, data regarding ethics, gender and human rights issues were not collected through surveys or interviews. Instead, this criterion was assessed based on information available in the project document of GFC. All information was collected according to relevant United Nations Evaluation Group (UNEG) guidelines and UN standards of conduct.
21. Survey questionnaires (Annex VIII), targeting countries that benefitted from the Quick Start Programme Trust Fund (QSPTF), were emailed to 96 SAICM National Focal Points⁹ (SNFP) beginning September 2024. French versions¹⁰ were sent to French speaking countries, and English versions to the other countries. Despite a soft reminder sent by the SAICM Secretariat mid-September requesting them to reply by beginning October 2024, only 18 responses were received. Given this low response rate, and noting that of the 96 SNFPs, 90 are currently GFC National Focal Points¹¹, one can question the engagement of the focal points in the process. Table 2 summarizes the responses by region.
22. During data analysis for the development of emerging findings and for evaluation criteria rating, as far as possible, emerging findings were derived through triangulation of data from different sources that contributed to ensure the robustness and validity of the assessment. Whenever a potentially important finding was identified but it was not possible to triangulate (e.g., data/finding provided by a single source), this has been explicitly highlighted in the evaluation report.

⁹ <https://www.chemicalsframework.org/page/saicm-focal-points>

¹⁰ The evaluator is French bilingual

¹¹ <https://www.chemicalsframework.org/page/gfc-focal-points>

Table 2: Responses to survey

	CEE*	AP*	Africa	LAC*	Total
Survey forms sent	8	24	37	27	96
Responses	6	0	8	4	18
Response (%)	75.0	0.0	21.6	14.8	18.8

*CEE: Central & Eastern Europe; AP: Asia and the Pacific; Latin America & the Caribbean

3 THE PROJECT

3.1 Context

23. Chemicals are an integral part of our daily life all over the world. They bring many benefits to our lives and are necessary for trade, employment, innovation and economic growth. The international chemical industry has grown dramatically since the 1970s. Studies, projecting trends to 2050, forecast that global chemical sales will grow about 3% every year to 2050. However, if not managed soundly throughout their life cycle, chemicals can have far-reaching adverse effects on the environment and human health and lead to substantial costs for national economies by impeding economic growth and disrupting social development.
24. Recognizing this, governments targeted chemicals and wastes in a number of Sustainable Development Goals (SDGs), such as health, water and consumption and production patterns to reach the overall goal that “by 2020, chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment”. This “2020 goal” was adopted by representatives of Governments attending the World Summit on Sustainable Development in 2002 as part of the Johannesburg Plan of Implementation.
25. To achieve this overall 2020 objective, the Strategic Approach to International Chemicals Management (SAICM) was adopted in 2006. The major driving forces for the establishment of SAICM were the following:
- Many countries lack the capacities and resources to manage chemicals soundly at the national, subregional, regional and global levels. This applies especially for the least developed among developing countries and countries with economies in transition and for small island developing states.
 - The existing international policy framework for chemicals is not completely adequate and needs to be further strengthened. There is a need to improve synergies between existing instruments and processes. Many countries have not ratified or implemented regional and globally binding instruments and other relevant initiatives, addressed gaps in national chemicals regimes or developed national mechanisms for coordinating chemicals activities.
 - There is often limited or no information on many chemicals currently in use and often limited or no access to information that already exists. This leads to lack of awareness of the risks on the part of regulators, workers and the public.
 - There is inadequate planning and investment to address chemical safety issues:
 - i. The benefits of action and the cost of inaction are not always well understood to justify investment in this area.
 - ii. Actions taken to strengthen the sound management of chemicals and waste are not always designed, financed and implemented with sustainability in mind.
 - iii. Implementation of corporate social responsibility schemes is uneven.
26. To tackle these issues, SAICM would provide a policy framework to protect human health and the environment and to achieve the 2020 Goal. The scope of SAICM includes both, environmental, economic, social, health and labour aspects of chemical safety, and agricultural and industrial chemicals. SAICM would also aim to promote sustainable development and would cover chemicals at all stages of their life cycle, including in products. SAICM’s objectives are grouped under five themes: Risk reduction, knowledge and information, governance, capacity-building and technical cooperation, and illegal international traffic.

3.2 Results Framework

27. The project was designed to contribute to UNEP Subprogramme 5 “Chemicals, waste and air quality”. The overall objective of the chemicals, waste and air quality subprogramme is to support countries in their efforts to improve the management of chemicals and waste and improve air quality in order to significantly reduce negative impacts on the environment and human health.
28. The expected Outcome of the SAICM project was: Advisory, policy and coordination support services by the Secretariat of the Strategic Approach and the Sound Management of Chemicals and Waste in line with the 2030 Agenda for Sustainable Development goal of sound chemicals. The three corresponding Outputs, expected to be delivered to achieve this outcome, were: (i) Administration of the Quick Start Programme (QSP) to support initial enabling capacity building implementation activities and successful closure (ii) Continued Secretariat Services to facilitate the SAICM process, and (iii) Information and knowledge management products and services developed and implemented to influence key stakeholders on the sound management of chemicals and waste.

3.3 Stakeholders

29. SAICM is an overarching policy process established in Dubai, UAE, in 2006. The project under evaluation is the implementation of SAICM for the period 2018 – 2024. The key stakeholders were defined in the Dubai declaration to engage actively in partnerships between Governments, the private sector and civil society. The stakeholder analysis proposed in the project design has defined four stakeholder groups based on their power and interest over the project:
 - A: High power/high interest over the project= Key player
 - B: High power/ low interest over the project =Meet their needs
 - C: Low power/ high interest over the project= Show consideration
 - D: Low power /low interest over the project= Least important
30. Table 3 summarizes the stakeholder groups. For category A, Governments through their SNFPs; Inter-Organization for the Sound Management of Chemicals) IOMC, in particular the United Nations for Industrial Training and Research (UNITAR), International Labour Organization (ILO), World Health Organization (WHO) and Food and Agriculture Organization (FAO); the secretariats of the Basel, Rotterdam and Stockholm Conventions (BRS), and the Minamata and Ozone Secretariats have been active actors. For category B, the Organization for Economic Cooperation and Development (OECD), the European Union (EU) and its member states were active partners. For the industry/private sector stakeholders (category C), the International Council of Chemical Associations (ICCA), representing the chemical sector, has been the major contributor. The International Pollutants Elimination Network (IPEN) and its member Non-Governmental Organizations (NGOs) and Health Care Without Harm (HCWH) were the major active contributors and actors for category D. A majority of SNFPs did not respond to an invitation to participate in the survey carried out for this evaluation¹². While the industry/private sector is huge (e.g., oil industry) only the chemical sector was engaged through ICCA. Efforts must be done to encourage other industrial sectors at global, regional and national levels to engage in this global effort to protect human health and the environment from the impacts of chemicals and wastes.

¹² See paragraph 15

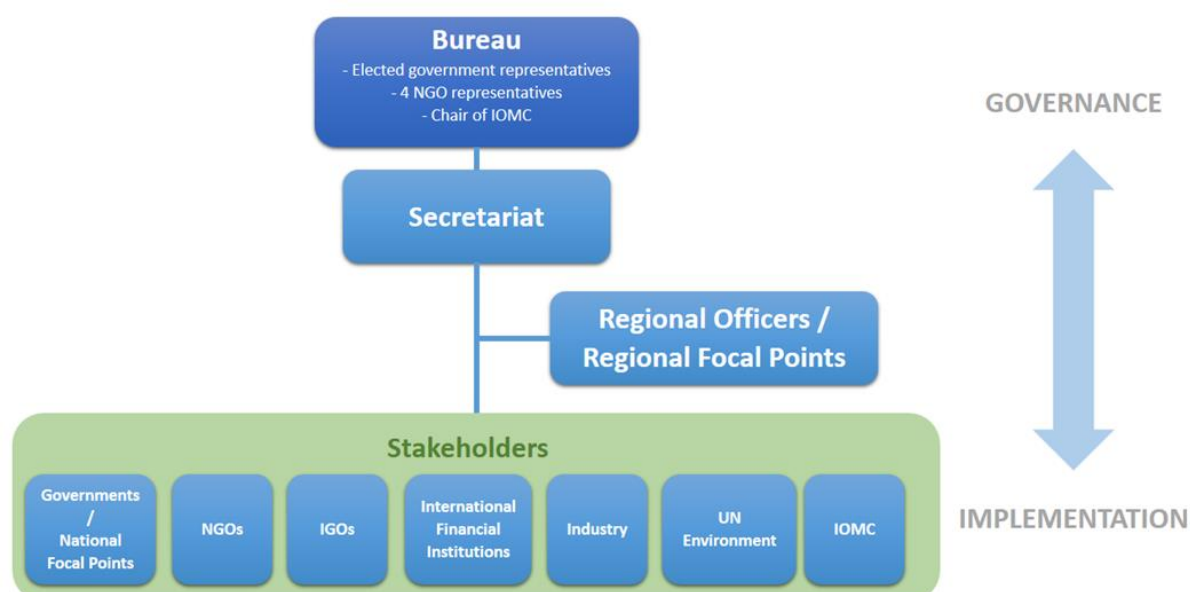
Table 3: Categorization of stakeholders

Groups	Stakeholders
A: key players	Government and national focal points; IGOs/UN agencies/MEA governing bodies
B: meet their needs	International financing bodies (multilateral development banks) and regional economic organizations
C: show consideration	Industry/private sector
D: least important	Civil society (academia, health, labour and public interest NGOs)

3.4 Project implementation structure and partners

31. As per the project document, the Strategic Approach would comprise a Bureau of the Conference to be elected by and from among the representatives of the governmental participants present at each session. At the fourth session of International Conference on Chemicals Management (ICCM4), held in Geneva, Switzerland, 28 September–2 October 2015, the representative from Germany was elected as President and representatives from Brazil, India, Poland and Zambia of the four SAICM regions as Vice-Presidents of the ICCM5 Bureau respectively. IOMC, ICCA, IPEN, the International Trade Union Confederation, and HCWH were also elected to participate in the discussions during the meetings of the Bureau. The Bureau advises the President and the Secretariat on the conduct of the business. To sustain an integrated approach, facilitate communication and cooperation on as well as the implementation of the Strategic Approach, national and regional focal points as well as IGO and NGO focal points are nominated. The Africa, Asia & the Pacific, Central & Eastern Europe, Latin America & the Caribbean, and Western Europe & Others regions elected representatives from Barbados, Canada, Cote D'Ivoire, Iran, and the Russian Federation as their SAICM Regional Focal Points respectively.
32. UNEP had the overall administrative responsibility for the SAICM Secretariat, which is integrated within the Chemicals & Health Branch of the Industry and Economy Division. In addition to servicing the Bureau, the Secretariat was responsible for organizing regional meetings, reporting to the Conference on implementation of the Strategic Approach by all participants, ensuring adequate information dissemination to and from all stakeholders and promoting the establishment and maintenance of a network of Strategic Approach stakeholders at the national, regional and international levels. Figure 1 summarizes the governance and implementation structure.

Figure 1: Organigram of the Project with key project key stakeholders



3.5 Changes in design during implementation

33. There were four revisions of the project document to extend the project until December 2024. During the evaluation phase a fifth revision was granted to extend the project to June 2025 to allow a smooth transition from SAICM to its successor the Global Framework on Chemicals (GFC). These revisions did not fundamentally change the design, structure or implementing arrangements of the project. However, there were some changes in output titles and targets for indicators to take into consideration key partnerships built along the way and additional meetings organized during the extended project life. The changes (blue text) on the indicators were: new indicators introduced (e.g., for Outputs 2 and 3, Table 5) and change in indicator targets (Tables 4 and 5). The Output 3 title has been slightly modified from “*Information and knowledge management tools developed and implemented to influence stakeholders on the sound management of chemicals and waste with links to the 2030 Agenda for Sustainable Development, including financial institutions to secure resources*” to “*Information and knowledge management tools developed and implemented to influence stakeholders on the sound management of chemicals and waste with links to the 2030 Agenda for Sustainable Development, including financial institutions to secure resources, and joint partnerships and capacity building activities followed strategically with key SAICM Partners*”.

Table 4: Changes in Project Outcome

Project outcome	Indicators				
	At design: 2018 – 2021	1 st revision: 2021 – 2022	2 nd revision: 2022 – 2023	3 rd revision 1 st quarter 2024	4 th revision 2 nd quarter 2024
Advisory, policy and coordination support services provided by the secretariat of the Strategic Approach to International Chemicals Management promote changes in policy and in decision making, in line with the 2030 Agenda for Sustainable Development.	Indicator 1: Policy decisions made within the ICCM process for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. <u>Means of Verification:</u> OEWG3 that provide policy Direction. <u>Baseline:</u> 0; <u>Target:</u> 2 (1 target achieved i.e. OEWG3 report) Indicator 2: Secretariats of chemicals-related multilateral environmental agreements and UN agencies adopt decisions and promote policies for the sound management of chemicals and waste beyond 2020. <u>Baseline:</u> 0; <u>Target:</u> 4 (UNEP 2018, Minamata 2018, BRS 2019, WHA 2020)	(Note: Indicators 1 and 2 changed to indicators 3 and 4 respectively for 1st revision but titles remain same) Indicator 3: Policy decisions made within the ICCM process for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. <u>Means of Verification:</u> Report from IP4 that provide policy direction. <u>Baseline:</u> 0; <u>Target:</u> 1 Indicator 4: Secretariats of chemicals-related multilateral environmental agreements and UN agencies adopt decisions and promote policies for the sound management of chemicals and waste beyond 2020. <u>Baseline:</u> 4; <u>Target:</u> 7 i.e. 3 additional decisions from UNEA5 Part 2 in 2022, Minamata COP4 Part 2 in 2022 and BRS COPs in 2022	(Note: Indicator 3 changed to Indicator 5) Indicator 5: Policy resolutions made at ICCM5 for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. <u>Means of Verification:</u> Report from IP4.2 and ICCM5, including the adopting resolutions for the new framework under development, its name and one other omnibus resolution for transitional and early implementation measures, that provide policy direction. <u>Baseline:</u> 0; <u>Target:</u> 2	Indicator 5: Policy resolutions made at ICCM5 for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. <u>Means of Verification:</u> Report from IP4.2 and ICCM5, including the adopting resolutions for the new framework under development, its name and one other omnibus resolution for transitional and early implementation measures, that provide policy direction. <u>Baseline:</u> 0; <u>Target:</u> 3	Indicator 5: Policy resolutions made at ICCM5 for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. <u>Means of Verification:</u> Report from IP4.2 and ICCM5, including the adopting resolutions for the new framework under development, its name and one other omnibus resolution for transitional and early implementation measures, that provide policy direction. <u>Baseline:</u> 3; <u>Target:</u> 5

Table 5: Changes in Project Outputs

Project Outputs	Indicators				
	At design: 2018 – 2021	1 st revision: 2021 – 2022	2 nd revision: 2022 – 2023	3 rd revision 1 st quarter 2024	4 th revision 2 nd quarter 2024
Output 1: Administration of QSP to support initial enabling capacity building implementation activities and successful closure	- Number of closed QSP projects. <u>Baseline:</u> 140; <u>Target:</u> 184 - Number of meetings of the Executive Board of the QSP <u>Baseline:</u> 11; <u>Target:</u> 12 - Full and final closure of the QSP Trust Fund; <u>Baseline:</u> 0; <u>Target:</u> 1	No changes	- Number of closed QSP projects. <u>Baseline:</u> 184; <u>Target:</u> 184 - Number of meetings of the Executive Board of the QSP <u>Baseline:</u> 12; <u>Target:</u> 12 - Full and final closure of the QSP Trust Fund. <u>Baseline:</u> 0; <u>Target:</u> 1	- Number of closed QSP projects. <u>Baseline:</u> 184; <u>Target:</u> 184 - Number of meetings of the Executive Board of the QSP <u>Baseline:</u> 12; <u>Target:</u> 12 - Indicator 1.3 Full and final closure of the QSP Trust Fund <u>Baseline:</u> 0; <u>Target:</u> 2	- Number of closed QSP projects. <u>Baseline:</u> 184; <u>Target:</u> 184 - No of meetings of the QSP Executive Board o <u>Baseline:</u> 12; <u>Target:</u> 12 - Indicator 1.3 Full and final closure of the QSP Trust Fund <u>Baseline:</u> 0; <u>Target:</u> 2
Output 2: Continued Secretariat Services to facilitate the SAICM process provided	- Meetings of the ICCM5 Bureau held. <u>Baseline:</u> 4; <u>Target:</u> 10 - Number of regional meetings. <u>Baseline:</u> 23; <u>Target:</u> 33 - Number of sessions OEWG, ICCM, and IP for considering SAICM beyond 2020. <u>Baseline:</u> 7; <u>Target:</u> 11	(Note: Output 2 has become Output 4 for 1st revision, however the title remains the same) - Indicator 1.1: Meetings of the ICCM5 Bureau held. <u>Baseline:</u> 18; <u>Target:</u> 22 - Indicator 1.2: Number of regional meetings. <u>Baseline:</u> 33; <u>Target:</u> 37 - Indicator 1.3: Number of VWGs* and/or consultation	- Indicator 2.1: Meetings of the ICCM5 Bureau held. <u>Baseline:</u> 24; <u>Target:</u> 28 - Indicator 2.2: Number of regional meetings <u>Baseline:</u> 38; <u>Target:</u> 43 - Indicator 2.3: Resumed IP4 meeting report <u>Baseline:</u> 4; <u>Target:</u> 5 - Indicator 2.4: International Conference on Chemicals Management (ICCM5)	- Indicator 2.1: Meetings of the ICCM5 Bureau held. <u>Baseline:</u> 24; <u>Target:</u> 31 - Indicator 2.2: Number of regional meetings held. <u>Baseline:</u> 38; <u>Target:</u> 43 - Indicator 2.3: Resumed IP4 meeting report <u>Baseline:</u> 4; <u>Target:</u> 5 - Indicator 2.4: International Conference on Chemicals Management (ICCM5)	- Indicator 2.1: Meetings of the Bureau, open-ended ad hoc group on measurability and indicators held. <u>Baseline:</u> 31; <u>Target:</u> 33 - Indicator 2.2: Number of regional meetings held. <u>Baseline:</u> 38; <u>Target:</u> 43 - Indicator 2.3: Resumed IP4 meeting report <u>Baseline:</u> 4; <u>Target:</u> 5 - Indicator 2.4: International Conference on Chemicals

Project Outputs	Indicators				
	At design: 2018 – 2021	1 st revision: 2021 – 2022	2 nd revision: 2022 – 2023	3 rd revision 1 st quarter 2024	4 th revision 2 nd quarter 2024
		meetings: <u>Baseline: 4; Target: 8</u> Indicator 1.4: Number of sessions of OEWG, ICCM, and IP beyond 2020. <u>Baseline: 10; Target: 11</u> i.e. including IP4	Chemicals Management (ICCM5) convened Baseline: 4; Target: 5	convened Baseline: 4; Target: 5	Management (ICCM5) convened Baseline: 4; Target: 5
Output 3: Information and knowledge management tools developed and implemented to influence stakeholders on the sound management of chemicals and waste with links to the 2030 Agenda for Sustainable Development, including financial institutions to secure resources	- Communication and outreach products developed <u>Baseline: 4; Target: 13</u> - Targeted multi-stakeholder discussion platforms <u>Baseline: 0; Target: 9</u> - Report from ICCM5 <u>Baseline: 0; Target: 1</u> - Web-link available for beyond 2020. <u>Baseline: 0; Target: 1</u>	Output5** Indicator 2.1: Communication and outreach product developed <u>Baseline: 37; Target: 43</u> Including Communication strategy developed Indicator 2.2: Targeted multi-stakeholder discussion platforms. <u>Baseline: 23; Target: 31</u> Indicator 2.3: Report from IP4 <u>Baseline: 0; Target: 1</u> Indicator 2.4: Web-links available for beyond 2020. <u>Baseline: 0; Target: 2</u> Indicator 2.5: Draft strategies developed: <u>Baseline: 0; Target: 2</u> draft strategies Indicator 2.6: MOU signed with ICCA. <u>Baseline: 0; Target: 1</u>	- Indicator 3.1: Communication and outreach product developed. <u>Baseline: 48; Target: 58</u> - Indicator 3.2: Targeted multi-stakeholder discussion platforms. <u>Baseline: 58; Target: 64</u> - Indicator 3.3: Reports from resumed IP4 and ICCM5. <u>Baseline: 1; Target: 3</u>; Reports from IP4.2 and ICCM5 - Indicator 3.4: Web-links available for beyond 2020. <u>Baseline: 1; Target: 2</u> - Indicator 3.5: Draft strategies developed: <u>Baseline: 0; Target: 2</u> draft strategies	No changes made	No changes made

*VWG: virtual working group; ** Output 3 changed to Output 5, and the title changed by adding the following text at the end of Output 3 title “and joint partnerships and capacity building activities followed strategically with key SAICM Partners

3.6 Project financing

34. Resolution IV/5 of ICCM4 recalled its resolution I/1, which invites UNEP and WHO to provide staff to enable their organizations to take lead roles in the secretariat in their respective areas of expertise and encouraged all Governments and other stakeholders in a position to do so to contribute financial and other resources to enable the secretariat to perform its mandated functions.
35. UNEP, through the Environment Fund (EF), provided funding each year to cover some of the staff cost of the Secretariat (Table 5). Costs for other Secretariat staff and SAICM activities were covered from voluntary contributions, considered as extra-budgetary funds (XB). As SAICM was officially superseded by the Global Framework on Chemicals (GFC), which was adopted during ICCM5 in September 2023 in Bonn, the 2024 contributions were for GFC. According to information available at the time of the evaluation, as the GFC project has not yet been approved internally, a GFC account has not yet been created in the UNEP Integrated Planning, Management and Reporting system. Thus, these funds cannot be accessed by the Secretariat. For these reasons, on top of EF funds, UNEP has allocated additional funds to cover cost for Secretariat staff and running activities for 2024, noting that SAICM has been extended to June 2025. The ICCA contribution for 2024 was credited to the SAICM account as the agreement between ICCA and the Secretariat was signed before the adoption of GFC at ICCM5. Table 6 summarizes the donors' cash contributions, EF funds, and additional UNEP funds for the period 2018 to 2024. The project budget output wise for the period 2018 to 2024 is summarized in Table 6. For Output 1, no additional funds were required up to 2023 as the QSP was closed. For 2024, funds were required for the administration of the GFC Trust Fund and to support the work of the Executive Board (Output 1), and to support the GFC Bureau meetings and transitional arrangements, and for early implementation of ICCM5 resolutions (Output 2).

Table 6: Donors' cash contributions, EF funds, and UNEP funds (USD)

Contributions (\$)	2018	2019	2020	2021	2022	2023	2024	Total
Argentina		5,000						5,000
Austria	22,831	22,222				21,413		66,635
Belgium	22,297	22,727	23,895	28,153	39,297	55,494		191,862
Canada					116,188			116,188
Denmark	81,008	78,275	83,169	30,328	49,921			322,700

Contributions (\$)	2018	2019	2020	2021	2022	2023	2024	Total
Finland		22,727	22,396	24,213	25,907	38,335		133,578
France		227,260	235,154	241,463	221,004	219,539		1,144,420
Germany	555,626	332,964	162,815	180,551	522,993	2,276,487		4,031,435
ICCA	186,335	332,464	165,563	348,675	310,052	321,728	328,228	1,993,045
Japan					170,000			170,000
Norway	500,361	56,207	146,564	35,531	85,206			823,869
Pakistan	1,993		1,994		1,926	1,626		7,539
Romania					19,830			19,830
Slovenia	3,497	3,282	3,525					10,304
Sweden	381,987	259,791	349,850	346,576	321,067	270,827		1,930,097
Switzerland	18,505	15,933	18,333	21,074	97,006	42,135		212,986
The Netherlands	46,620	43,764			41,451	85,837		217,671
United Kingdom		164,684		348,675	217,674			731,033
USA	474,000	475,000	475,000	525,000	700,000	700,000		3,349,000
Σ Contributions	2,295,060	2,062,300	1,688,258	2,130,239	2,939,522	4,033,421	328,228	15,477,192
QSP cash balance	587,368							587,368
UNEP funds							1,289,772	1,289,772
Unsecured XBF fund					1,910,947		297,178	297,178
Total XB funds	2,882,428	2,062,300	1,688,258	2,130,237	4,850,468	4,033,421	1,915,178	17,651,343
EF	234,048	543,901	235,894	159,808	292,185	321,404	353,544	2,140,783
Total	3,116,476	2,606,201	1,924,152	2,290,045	5,142,653	4,354,825	2,268,722	19,792,126
% Contributions*	73.4%	79.1%	87.7%	93.0%	57.2%	92.6%	14.5%	87.7%

*Percentage of donors' contributions with respect to total XB funds

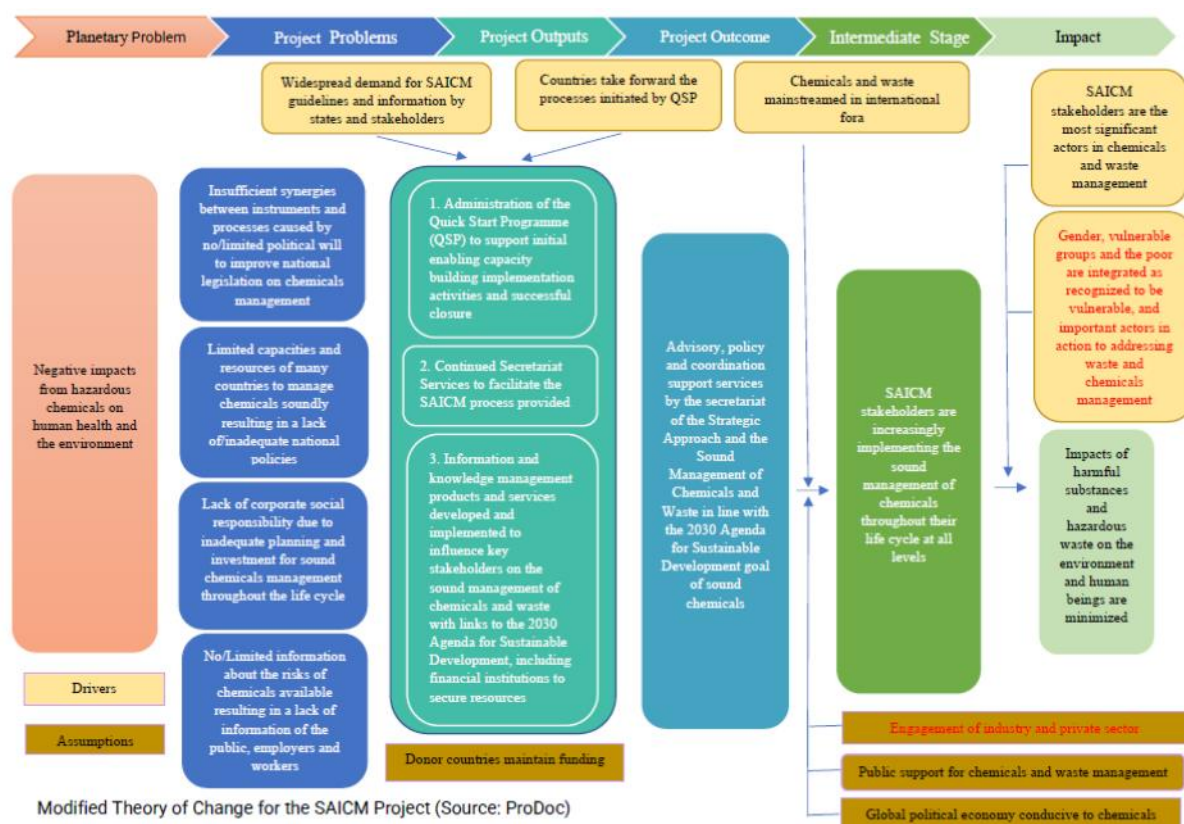
Table 7: Project budget output-wise (USD)

	At design	Revision in 2021	Revision in 2022	Revision in 2023	Revision 2024
Output 1	83,800				403,795
Output 2	5,754,000	812,624	1,951,536	5,762,465	1,211,383
Output 3	665,624	1,181,595	1,624,799	2,205,114	
Total	6,503,424	1,994,219	3,586,335	7,967,579	1,615,178

4 THEORY OF CHANGE AT EVALUATION

36. The project under evaluation is the continuation of SAICM developed in 2006, which did not have a Theory of Change (TOC). The TOC proposed in the project document was largely based on the reconstructed TOC proposed in the SAICM TE report, submitted in December 2018, covering the period 2006 – 2015. The intermediate state of the project's TOC (Figure 1) is one of the two proposed intermediate states in the 2018 TE report. Similarly, three of the four assumptions, four of the five drivers and the impact statement were those of the report.
37. During the inception phase, the evaluation considered that the proposed TOC was clearly and convincingly describing the causal pathways from the identified problems through the project outputs through the outcome, and through the intermediate stage towards impact. The only suggested changes were to include one more Driver: *Gender, vulnerable groups and the poor are integrated as recognized to be vulnerable, and important actors in action to addressing waste and chemicals management*, and an additional Assumption: *Engagement of industry and private sector*. The additional driver is self-justified as these are the most exposed groups (text in red in Figure 2). Given the scale of chemicals production and associated waste across the globe, without the engagement of industry and the private sector, it would be very challenging to soundly manage chemicals and wastes in a sustainable manner. No change was further suggested to the TOC at the evaluation stage, and this TOC was used for the terminal evaluation.

Figure 2: TOC at Evaluation



5 EVALUATION FINDINGS

5.1 Strategic Relevance

5.1.1 Alignment to UNEP MTS, POW and Strategic Priorities

38. As per the project document, the UNEP medium-term strategy for the period 2018-2021 was built on the outcome document of the United Nations Conference on Sustainable Development, **"The Future we want"**, and the **2030 Agenda for Sustainable Development**, which was adopted in September 2015. Thus, UNEP medium-term strategy put people at the centre of sustainable development, promoting human well-being and meeting the needs of the present and future generations without degrading the environment or exceeding the planet's regenerative capacity. In order to achieve the 2030 vision, UN Environment would promote the coherent implementation of the environmental dimension of sustainable development within the United Nations system and served as an authoritative advocate for the global environment. According to its Programme of Work, UN Environment would deliver its work within the context of seven priority areas/subprogrammes: (1) climate change; (2) resilience to disasters and conflicts; (3) healthy and productive ecosystems; (4) environmental governance; (5) chemicals, waste and air quality; (6) resource efficiency; and (7) environment under review.
39. Within the UNEP's subprogramme 5 "Chemicals, waste and air quality", the SAICM project contributed to the expected accomplishment: "Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM).
40. The indicator for the Expected Accomplish is the number of Governments that, with UNEP support, are developing or implementing policies, strategies, legislation or action plans that promote sound chemicals and waste management and/or the implementation of multilateral environmental agreements and the existing framework on chemicals and waste. As discussed in Section 5.4.3 (under Driver 2), UNEP has played a significant role in supporting numerous countries worldwide in implementing policies, legislation, and action plans to ensure the sound management of chemicals and waste.

Rating for Alignment to UNEP MTS, POW and Strategic Priorities: *Highly Satisfactory*

5.1.1 Alignment to Donor Strategic Priorities

41. UNEP is the leading global authority on the environment. The project is fully aligned with one of UNEP's mandates to minimize the adverse effects of chemicals and pollution on human health and the environment. Within this mandate, UNEP's goal is to encourage policies and investments that reduce risks from chemicals to both health and the environment¹³.
42. Except for ICCA, all the donors were national governments (Table 5). The project is fully aligned with the strategic priorities of these countries. All of them have institutions or ministries for the protection of the environment. And some have environmental action plans. Ten of the nineteen donor countries (Table 5) are members of the European Union (EU). One of the six priority objectives of EU **"Environment Action Programme to 2030"** is to pursue a zero-pollution ambition, including for air, water and soil and protecting the health and well-being of Europeans¹⁴. The project is also in line with the ICCA's

¹³ <https://www.unep.org/topics/chemicals-and-pollution-action>

¹⁴ https://environment.ec.europa.eu/strategy/environment-action-programme-2030_en

Responsible Care® initiative to drive continuous improvement in safe chemicals management and achieve excellence in environmental, health, safety and security performance¹⁵.

Rating for Alignment to Donor Strategic Priorities: Highly Satisfactory

5.1.2 Relevance to Global, Regional, Sub-regional and National Priorities

43. The project is highly relevant to the international sustainable development agenda. In particular, it is fully in line with most of the 27 principles of one of the first global framework on sustainable development and environment, the Rio Declaration¹⁶. The project is also aligned with the mandates of the BRS, Minamata Conventions and other MEAs, ILO, WHO and FAO among others. Since its establishment through the Dubai Declaration (2006), SAICM has contributed to the UN Sustainable Development Goals 3, 6 and 12, in particular Target 3.9: By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination; Target 6.3: By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater and substantially increasing recycling and safe reuse globally; and Target 12.4: By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment. As discussed in the earlier paragraphs, the project is aligned with regional and national priorities.

Rating for Relevance to Global, Regional, Sub-regional and National Priorities: Highly Satisfactory

5.1.3 Complementarity with Existing Interventions/Coherence

44. Under its chemicals and waste focal area, the Global Environment Facility (GEF) works to support developing countries and countries with economies in transition to eliminate the most harmful chemicals, which are covered by the Stockholm Convention, Minamata Convention, and Montreal Protocol. The GEF also supports the achievement of broader sound management of chemicals and waste through its support to SAICM¹⁷. In that context, it supported the two UNEP led initiatives: *"Integrated Health and Environment Observatories and Legal and Institutional Strengthening for the Sound Management of Chemicals in Africa (African ChemObs)"*¹⁸ and *"Global Best Practices on Emerging Chemical Policy Issues of Concern under the Strategic Approach to International Chemicals Management (SAICM)"*¹⁹. These two initiatives contributed to build capacity in the recipient countries for the sound management of chemicals and waste. In addition, the SAICM Knowledge Management Platform²⁰ was one of the products of the second initiative. This platform ensured up-to-date information about SAICM and the QSP, emerging policy issues with resources and publications, news and articles, chemicals and waste related events and communities of practice for exchanging with other stakeholders on the sound management of chemicals and waste and related linkages to the 2030 Agenda for Sustainable Development. UNEP is also implementing the GEF

¹⁵ <https://icca-chem.org/focus/responsible-care/>

¹⁶ A/CONF.151/26/Vol.I: Rio Declaration on Environment and Development

¹⁷ <https://www.thegef.org/what-we-do/topics/chemicals-and-waste>

¹⁸ <https://www.thegef.org/projects-operations/projects/9080>

¹⁹ <https://www.thegef.org/projects-operations/projects/9771>

²⁰ <https://saicmknowledge.org/>

funded global medium sized project “Global best practices on emerging chemical policy issues of concern under the Strategic Approach to International Chemicals Management (SAICM)”²¹. The objective of this three-year project, which was approved in 2022 and being co-executed by the WHO, is to develop and update global guidance on improving the control of Environmentally Persistent Pharmaceutical Pollutants (EPPPs), a new emerging policy issue of SAICM, emissions during the key lifecycle stages of medicines, including during manufacture and disposal.

45. The project is complementary with UNEP’s Special Programme (SP), which provides support to developing countries and countries with economies in transition to enhance their sustainable institutional capacity to develop, adopt, monitor and enforce policy, legislation and regulation for effective frameworks for the implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention and SAICM²². The SP is currently supporting 70 countries to implement 83 projects.
46. The project is also complementary to the Specific International Programme (SIP), which was defined to deliver direct capacity-building and technical assistance to developing country Parties and Parties with economies in transition in implementing their obligations under the Minamata Convention. The SIP has to date funded 24 projects in developing country Parties and Parties with economies in transition²³.

Rating for Complementarity with Existing Interventions/Coherence: Highly Satisfactory

Rating for Strategic Relevance: Highly Satisfactory

5.2 Quality of Project Design

47. During the inception phase, a detailed assessment of the project design was done²⁴. Table 8 summarizes the rating for the project design. The rating awarded during the inception phase was not adjusted. The following strengths were noted:

- Comprehensive situation analysis of countries lacking institutional capacity for the sound life cycle management of chemicals and wastes.
- Highly relevant project built within a global effort through a multi-stakeholder and multi-sectoral preparatory committee in order to strengthen the sound management of chemicals and waste by building institutional capacity in the relevant national authorities taking into account national needs and priorities and new emerging issues.
- A comprehensive intervention logic and a clear and consistent approach with adequately planned activities to deliver outputs and outcomes.
- Key stakeholders identified and their roles adequately described. In particular, capacities of key partners such as IOMC or IPEN, already involved in the previous during the period 2006 – 2015, adequately assessed
- Cost effective measures / actions proposed such as use of existing structures in the UNEP Chemicals and Waste branch, previous experience from Trust Funds, and project complementary to the Special Programme and the GEF.

²¹ <https://www.thegef.org/projects-operations/projects/10119>

²² <https://www.unep.org/goal-special-programme>

²³ <https://minamataconvention.org/en/implementation/specific-international-programme/fourth-round>

²⁴ Annex C of the Inception Report for this terminal evaluation

- Adequate monitoring plan proposed. Baseline and end of project targets specified for the three outputs and the project outcome as well as a midterm review and a terminal evaluation proposed. Responsibilities for monitoring activities clearly described.
- Strategies/approaches to promote/support sustainability, uptake, and replicability clearly described in Section 9 of the project document.

48. The terminal evaluation was not budgeted. The evaluation notes that the project did not have direct influence or control regarding Outcome indicator 2 relative to Conference of Parties (COP) decisions of the Basel, Rotterdam, Stockholm, (BRS) and Minamata Conventions. The project logical framework (PLF) could also have benefited from assumptions and risks. Some risks were provided during the first project revision in 2021.

Table 8: Rating for the Project Design

	SECTION	SELECT RATING	SCORE (1-6)	WEIGHTING	TOTAL (Rating x Weighting/10)
A	Operating Context	Satisfactory	5	0.4	0.2
B	Project Preparation	Highly Satisfactory	6	1.2	0.72
C	Strategic Relevance	Highly Satisfactory	6	0.8	0.48
D	Intended Results and Causality	Satisfactory	5	1.6	0.8
E	Logical Framework and Monitoring	Satisfactory	5	0.8	0.4
F	Governance and Supervision Arrangements	Highly Satisfactory	6	0.4	0.24
G	Partnerships	Highly Satisfactory	6	0.8	0.48
H	Learning, Communication and Outreach	Highly Satisfactory	6	0.4	0.24
I	Financial Planning / Budgeting	Highly Satisfactory	6	0.4	0.24
J	Efficiency	Satisfactory	5	0.8	0.4
K	Risk identification and Social Safeguards	Satisfactory	5	0.8	0.4
L	Sustainability / Replication and Catalytic Effects	Satisfactory	5	1.2	0.6
M	Identified Project Design Weaknesses/Gaps	Satisfactory	5	0.4	0.2
TOTAL SCORE (Sum Totals)					5.4 ²⁵

Rating for Project Design Quality: Highly Satisfactory

5.3 Nature of the External Context

49. The project document did not identify any unusually challenging operational factors that were likely to negatively affect project performance. Political instability was identified as a possible risk during the project first revision. In the end, this risk did not affect implementation. The outbreak of the COVID-19 pandemic in 2020 caused a historical and unprecedented moment. Never before has the whole world been shut down. This pandemic took the world by surprise and could not possibly have been predicted. Implementation was obviously severely impacted and warranted extensions to allow for the completion of project activities.

Rating for Nature of the External Context: Favourable

²⁵ According to the UNEP rating matrix for Project Design, a score of 5.4 corresponds to Highly Satisfactory.

5.4 Effectiveness

50. Effectiveness was assessed based on the extent to which the indicators of the three outputs and of the outcome proposed in the PLF were available. The evaluation also assessed whether the milestones were achieved. Due to the COVID-19 pandemic that severely impacted implementation, and the negotiations took longer than expected, and the project was granted five extensions to allow for completion of activities and for a smooth transition from SAICM to GFC. Additional indicators and milestones were included to take into account the additional planned activities that were carried out during the extended period. These are reflected in the indicator column with revision of Tables 9, 11 and 13, and rows with blue text in the Tables 10, 12 and 14. The assessment is done covering the period ending November 2024. The scale used for rating the outputs and outcome ranged from Highly Satisfactory (HS) to Highly Unsatisfactory (HU)²⁶.

5.4.1 Availability of Outputs

51. **Output 1: Administration of QSP to support initial enabling capacity building implementation activities and successful closure.** The QSP was established through the ICCM resolution I/4. Since its establishment in 2006, there have been 14 application rounds. The QSP project portfolio comprised 184 approved projects with an approximate value of USD37 million. The projects spanned over 108 different countries including 54 least developed countries and small island developing States. Of the 108 countries, 40 countries were in Africa, 30 countries in the Asia-Pacific, 28 countries in Latin America and the Caribbean (LAC) and 10 countries in Central and Eastern Europe (CEE). At the start of the project under evaluation, 140 projects were already closed and 44 were on-going. The administration of the remaining projects was efficiently done by a QSP officer, who was on board since 2013. During the project phase, most of the on-going projects were near completion. In most cases, the final relevant reports were expected for their administrative closure. The last two projects were closed in December 2021, and the final closure of QSP was officially acknowledged during the ICCM5 Conference in Bonn, Germany on 23 – 27 September 2023. As no issues were identified and all targets were achieved, delivery for Output 1 is rated **Highly Satisfactory**.

Table 9: Achievement of targets for Output 1

	Indicators		Achievements	Rating
	At design (2018 – 2021)	With revisions (2021 – 2024)		
Output 1: Administration of QSP to support initial enabling capacity building implementation activities and successful closure	- Number of closed QSP projects. <u>Baseline:</u> 140; <u>Target:</u> 184 - No of meetings of the QSP Executive Board <u>Baseline:</u> 11; <u>Target:</u> 12 - Final closure of QSP TF <u>Baseline:</u> 0; <u>Target:</u> 1	- Number of closed QSP projects. <u>Baseline:</u> 184; <u>Target:</u> 184 - Number of meetings of the Executive Board of the QSP <u>Baseline:</u> 12; <u>Target:</u> 12 - Indicator 1.3 Full and final closure of the QSP TF <u>Baseline:</u> 0; <u>Target:</u> 2	- Target achieved – Remaining 44 QSP projects closed by December 2019 - Target achieved – The last Executive Board meeting for the period 2018 – 2021 held in December 2019 - Target achieved - QSP closed, remaining funds transferred to GFC	S

²⁶ Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)

Table 10: Milestones achievement for Output 1

Output 1	Date reaching milestone	
Milestones	At design	Actual with revisions
M1 Communication products and database of project results developed and available for stakeholders	June 2018	QSP projects results, success stories and main results shared on the SAICM website
M2 12 th Executive Board meeting and 19 th TFIC meeting held	December 2018	12 th Executive board meeting held on 18 December 2019 by teleconference
M3 All remaining projects closed	June 2019	Last 2 projects closed in December 2021
M4 Full and final closure of the QSP Trust Fund	December 2019	December 2022 QSP TF no longer operational.
M5 All necessary documents for closure gathered and ready for ICCM 5 deliberations	June 2023	Documents gathered during 2022 and ready by June 2023
M6 Full and final closure of the QSP trust fund is achieved	Dec 2023	ICCM 5 in September 2023 acknowledged closure of QSP TF

52. **Output 2: Continued Secretariat Services to facilitate the SAICM process provided.** Resolution IV/4²⁷ recognizing the need to start considering arrangements for the period beyond 2020, requested the Secretariat to initiate an intersessional process to prepare recommendations regarding the Strategic Approach and the sound management of chemicals and waste beyond 2020. The resolution mentioned that the conclusions of the terminal evaluation of SAICM for the period 2006 – 2015, report submitted in December 2018, should be considered in these recommendations. Output 2 was thus designed, among others, to facilitate the negotiations to develop the new framework, GFC, through different meetings involving all the key stakeholders. As summarized in Tables 10 and 11, the Secretariat has been successful in the delivery of this output. All targets of the deliverables associated with the servicing of all the meetings (ICCM, open-ended working group (OEWG), intersessional process (IP), regional, and Bureau meetings) as well as the virtual working group (VWGs) ones carried out because of travel restriction were satisfactorily achieved. Regarding timeliness, except for the regional meetings planned in June 2020 and ICCM5 in December 2020 (M5 and M6, Table 10) that were delayed due to the pandemic, all the other meetings were timely organized. Although a few respondents highlighted some minor deficiencies such as too short notice in the sharing of meeting documents, all the respondents recognized the adequate to very good support/service provided by the Secretariat in organizing these meetings in terms of logistics, communication, and timely provision of relevant documentation. One respondent, however, pointed out that the level of consistency in the organization of the meetings changed over time, which was probably due to the turnover of SAICM Coordinators (three during the project life) or understaffing of the Secretariat. One respondent mentioned that as the developing countries do not have many resources, the documentation shared for information/action should be more precise and shorter.
53. While the meetings were well organized, some respondents pointed out a few issues about the meetings. One respondent mentioned that the negotiations during IP and OEWG meetings to develop GFC took much longer than anticipated. Among the reasons put forward were the broader scope of the new framework by inclusion of environmentally persistent pharmaceutical pollutants as a new emerging policy issue, and proposal of next steps for highly hazardous pesticides at ICCM4²⁸, and the greater care taken to draft the GFC text in order to take into account the interests of the various stakeholders involved in the negotiations. The respondent feedback: “each word of every paragraph had

²⁷ ICCM4 Conference was held in Geneva, Switzerland, 28 September – 2 October 2015

²⁸ (i) environmentally persistent pharmaceutical pollutants, Resolution IV/2/III; (ii) highly hazardous pesticides as an issue of concern, Resolution IV/3;

to be carefully chosen". The negotiations during the final day of ICCM5 in Bonn, Germany, 27 September 2023, which lasted 22 hours, confirmed the challenges to draft and finalize the GFC text. One respondent proposed the possibility of streamlining the work programme by avoiding overlapping activities of online working groups. Three respondents asserted that SAICM was too much environment-oriented leaving not much space for other sectors such labour and health. Another respondent raised a governance issue relating to the fact that a UNEP staff, not part of the SAICM Secretariat, was leading discussions during ICCM5. The UNEP staff, however, replied that this was done upon request from the ICCM5 chairperson²⁹. One SAICM Regional Coordinator pointed out the poor involvement of some of the SNFPs in regional activities. Many did not participate in regional meetings or did not provide required information (about 20 out of 50) in support of the development of the new framework.

54. Despite the issues raised, and the limited resources in terms of staff and funds, the Secretariat was able to deliver on its mandate, delivery for Output 2 is rated **Satisfactory**.

Table 11: Achievement of targets for Output 2

	Indicators		Achievements	Rating
	At design (2018 – 2021)	With revisions (2021 – 2024)		
Output 2: Continued Secretariat Services to facilitate the SAICM process provided	- Meetings of the ICCM5 Bureau held. <u>Baseline:</u> 4, <u>Target:</u> 10 - Number of regional meetings. <u>Baseline:</u> 23, <u>Target:</u> 33 - Number of sessions of the OEWG, ICCM Conference, and Intersessional Process <u>Baseline:</u> 7; <u>Target:</u> 11	- Meetings of the Bureau and OEWG <u>Baseline:</u> 31; <u>Target:</u> 32 - Number of regional meetings held. <u>Baseline:</u> 38; <u>Target:</u> 43 - Resumed IP4 <u>Baseline:</u> 4; <u>Target:</u> 5 - ICCM5 Conference <u>Baseline:</u> 4; <u>Target:</u> 5	- Target achieved: 32 meetings held - Target achieved: 5 regional meetings undertaken (1 in person and 4 virtual) to reach the target of 43 - Target exceeded: 4 virtual and two in person - Target achieved - ICCM 5 held in September 2023	S

Table 12: Milestones achievement for Output 2

Output 2	Date milestone achieved	
Milestones	At design	Actual with revisions
M1 Regional meetings in all five regions develop regional perspectives on Beyond 2020 and promote achievement of the SAICM 2020 goal.	June 2018	Asia Pacific , 23 - 25 Jan 2018, Bangkok, Thailand LAC , 29 - 31 Jan 2018, Panama City, Panama Africa , 06 - 08 Feb 2018, Abidjan, Côte d'Ivoire CEE , 9 - 21 Feb 2018, Lodz, Poland EU-JUSSCANNZ , 09 Feb 2018, Paris, France
M2 Multi-stakeholder input at OEWG3, promoted input of the 2020 goal and provides technical and policy guidance for decisions ICCM5, in particular provides direction on vision objectives, policy and principles for Beyond 2020.	December 2018	2 – 4 April 2018, Montevideo, Uruguay
M3 Face to face meeting of the ICCM5 Bureau held, supporting the preparations for policy discussion at the third intersessional process meeting.	June 2019	5 th 21-22 June 2018, Bonn, Germany 6 th 22-23 January 2019, Livingstone, Zambia 7 th 9-10 July 2019, St Petersburg, Russia
M4 Third meeting of the Intersessional Process for SAICM and the sound management of chemicals and waste beyond 2020 held and makes progress on future governance and implementation arrangements.	December 2019	30 September – 4 October 2019, Bangkok, Thailand

²⁹ Interview data

Output 2	Date milestone achieved	
Milestones	At design	Actual with revisions
M5 Regional meetings held in all five regions sharing information and supporting decision making for Beyond 2020.	June 2020	7 Sept 2021 Africa: 10 am – 12 pm CET (online) CEE - 2 pm – 4 pm CET (online) Asia Pacific: 10 am – 12 pm CET (online) Latin American and Caribbean 8 September 2021, 4pm – 6 pm CET (online)
M6 ICCM5 held, adopting a resolution on SAICM and the SMC and waste beyond 2020	December 2020	25 – 27 September 2023, Bonn, Germany
M7 Outcomes of the four VWGs available for consideration by IP4 and ICCM5, when face to face meetings feasible	June 2021	Five VWGs carried out 1. 28 Oct 2020 – Targets, indicators and milestones 2. 02 Nov 2020 – Financing the SMC and waste Beyond 2020 3. 09 Nov 2020 – Issues of concern 4. 16 Nov 2020 – Financial considerations 5. 18 Nov 2020 – Governance and mechanisms to support implementation IP4 meeting: 27 August – 2 September 2022 Bucharest, Romania
M8 Regional meetings held, sharing information and supporting decision making to support the consideration of SAICM beyond 2020	December 2021	Online regional meetings – CET time Africa: 7 September 2021, 10 am – 12 pm CEE: 7 September 2021, 2 pm – 4 pm Asia Pacific: 8 Sept 2021, 10am – 12 pm LAC: 8 September 2021, 4pm – 6 pm
M9 Two bureau meetings and two regional meetings convened	By June 2023	<u>Bureau meetings</u> 27 th Geneva, Switzerland, 22-23 June 2023 26 th Teleconference, 28 March 2023 25 th Teleconference, 7 February 2023 24 th Teleconference, 15 December 2022 23 rd Teleconference, 4 October 2022 22 nd Bucharest, Romania, 2 September 2022 21 st Teleconference, 12 July 2022 20 th Teleconference, 15 March 2022 19 th Teleconference, 15 February 2022 18 th Teleconference, 6 October 2021 17 th Teleconference, 21 July 2021 16 th Teleconference, 19 May 2021 15 th Teleconference, 24 March 2021 14 th Teleconference, 27 January 2021 13 th Teleconference, 9 December 2020 12 th Teleconference, 28 October 2020 11 th Teleconference, 9 September 2020 10 th Teleconference, 17 June 2020 9 th Teleconference, 13 May 2020 8 th Frankfurt, Germany, 16-17 January 2020 <u>Regional meetings</u> Asia Pacific , 5 - 7 Jul 2022, Jordan, Dead Sea Africa , 27 - 29 Jun 2022, Ghana, Accra EU-JUSSCANNZ countries 23 Jun 2022 CEE , 12 - 13 May 2022, Czechia, Prague LAC , 6 - 7 May 2022, Uruguay, Montevideo
M10 All Bureau and regional meetings hosted	By December 2023	<u>Bureau meetings</u> 29 th Bureau - Bonn, Germany, 20 Sept 2023 28 th Bureau - Teleconference, 17 August 2023 <u>Regional meetings</u> Africa, Asia Pacific, CEE, EU JUSSCANNZUK, LAC , 21 – 22 Sept 2023, Bonn. Regional briefings (online) EU-JUSSCANNZUK 09 Feb 2023 CEE , 26 Jan 2023 Africa , 26 Jan 2023 LAC , 25 Jan 2023 Asia Pacific , 25 Jan 2023 Africa Online, 13 July 2023 Asia-Pacific , 14 July 2023 WEOG , 14 July 2023 CEE , 14 July 2023 LAC , 17 July 2023

55. **Output 3: Information and knowledge management tools developed and implemented to influence stakeholders on the sound management of chemicals and waste with links to the 2030 Agenda for Sustainable Development, including financial institutions to secure resources.** Based on the achievements summarized in Tables 13 and 14, the Secretariat has been quite successful in the delivery for Output 3. All targets for all indicators were met (Table 13), but not all milestones were achieved (Table 14). Thanks to UNEP-led initiative³⁰ (Section 5.1.3), a Knowledge Management Platform has been established. This platform ensured up-to-date information about SAICM and the QSP, emerging policy issues with resources and publications, news and articles, chemicals and waste related events and communities of practice for exchanging with other stakeholders on the sound management of chemicals and waste and related linkages to the 2030 Agenda for Sustainable Development. No decision was taken regarding milestone 6, *the transition of the SAICM Knowledge Management Platform*. Subsequently, milestone 7, *the SAICM Knowledge Management Platform successfully transitioned to serve stakeholders beyond 2020*, de facto was not achieved (Table 15). Discussions are on-going for the way forward³¹. One monitoring deficiency noted was the IOMC/UNITAR initiative in undertaking 5 webinars on capacity building and training that were not included as indicators³²: (1) Addressing illegal trade and traffic of industrial chemicals, pesticides and Waste for Beyond 2020, 29 March 2021; (2) Leveraging Green and Sustainable Chemistry for Sound Management of Chemicals and Waste beyond 2020, 14 April 2021; (3) Chemical accident prevention, preparedness and response - 28 April 2021; (4) Financial considerations for Chemicals and Waste Management Beyond 2020, 29 April 2021; and (5) Evaluating health impacts from land-based pollution: data gaps & proposed framework and economic considerations, 18 November 2021. Had these webinars been considered, target for indicator 2 would have been exceeded (Table 13). The participation of women in these webinars was very satisfactory. Delivery for Output 3 is rated **Satisfactory**.

Rating for Availability of Outputs: Satisfactory

Table 13: Achievement of targets for Output 3

	Indicators		Achievements	Rating
	At design (2018 – 2021)	With revisions (2021 – 2024)		
Output 3: Information and knowledge management tools developed and implemented to influence stakeholders on the sound management of chemicals and waste with links to the 2030 Agenda for Sustainable Development, including financial institutions to secure resources	- Communication and outreach products developed Baseline: 4; Target: 13 - Targeted multi-stakeholder discussion platforms Baseline: 0; Target: 9 - Report from ICCM5 Baseline: 0; Target: 1 - Web-link available for beyond 2020. Baseline: 0; Target: 1	- Communication and outreach product developed. Baseline: 48; Target: 58 - Targeted multi-stakeholder discussion platforms. Baseline: 58; Target: 64 - Indicator 3.3: Reports from resumed IP4 and ICCM5. Baseline: 1; Target: 3 - Web-links available for beyond 2020. Baseline: 1; Target: 2	- Target exceeded, 64 communication and outreach product developed (newsletters; press releases; articles, factsheets and outreach via web and social media) - Target achieved: 64 platform discussions carried out - Target achieved: reports of ICCM5 and IP4 - Target achieved - SAICM website and SAICM Knowledge Platform, GFC website	S

³⁰ See footnote 22

³¹ Interview data

³² <https://iomcwebinars.org/past-webinar-series/>

Table 14: Milestone achievements for Output 3

Output 3	Date milestone achieved	
Milestones	At design	Actual with revisions
M1 QSP Success stories based on lessons learnt developed and disseminated through the SAICM website	June 2018	Three new success stories from QSP project published and disseminated on SAICM website in June 2018
M2 On-line multi-stakeholder discussion platforms on key SAICM and related SDG topics, stakeholders actively contribute (including topics on gender, health and sustainable production and consumption).	December 2018	- Several multi-stakeholder discussion platforms took place in 2 October 2019 during IP3 - Four communities of practice (CoP) established in partnership with the University of Cape Town in July 2020. Numerous online discussions held
M3 Communication products and database of QSP project results developed and available for stakeholders, including gender highlights.	June 2019	Creation of multiple data visualization pilots, including: Country Profiles, Lead in Paint Legislation, SAICM progress report in SAICM website
M4 On-line multi-stakeholder discussion platforms on key SAICM and SDG related topics, stakeholders actively contribute (including water, agriculture and pollution).	December 2019	Several multi-stakeholder discussion platforms took place in 2 October 2019 during IP3
M5 On-line multi-stakeholder discussion platforms on key SAICM and related SDG topics, stakeholders actively contribute (including topics on financing, governance, science-policy).	June 2020	Five online discussions 28 Oct 2020 – Targets, indicators 02 Nov 2020 – Financing the SMC 09 Nov 2020 – Issues of concern 16 Nov 2020 – Financial considerations 18 Nov 2020 – Governance
M6 Stakeholders give guidance through ICCM5 report on knowledge management transition beyond 2020.	December 2020	No decision taken at ICCM5 for transition of Knowledge Management Platform
M7 SAICM Knowledge Management Platform successfully transitioned to serve stakeholders beyond 2020	June 2021	As no decision taken at ICCM5, discussion ongoing within GFC Secretariat on the way forward
M8 Six communities of Practice online discussions organized with broad participation of SAICM stakeholders to address relevant topics on HHPs, lead in paint, chemicals in products, and chemicals in SDGs	December 2021	CoP - Nine online discussions from January to June 2021
M9 At least 5 targeted multi-stakeholders discussion platforms are hosted and 5 communication and outreach products are developed	June 2023	5 multi-stakeholder discussions held by November 2023 5 communication and outreach products including newsletters and press releases developed by November 2023
M10 All of above draft strategies are developed	December 2023	(i) Implementation of GHS in Africa (ii) Capacity-building strategy for beyond 2020 (iii) Study on existing reporting mechanisms to track progress (iv) Stakeholder Engagement Plan (annex K of GFC) (v) Resource mobilization proposed in GFC (Section 5.3)

Rating for Availability of Outputs: Satisfactory

5.4.2 Achievement of the Project Outcome

Project Outcome: *Advisory, policy and coordination support services provided by the secretariat of the Strategic Approach to International Chemicals Management promote changes in policy and in decision making, in line with the 2030 Agenda for Sustainable Development.* The assessment, based on the availability of the indicators proposed in the PLF, is summarized in Table 15 below. As earlier discussed, the achievement for indicator 2 was beyond the control or influence of the project as it was related to COP or UNEA decisions (cf. Section 5.2). Overall, achievements were very satisfactory. For indicator one, the target has been exceeded, 11 resolutions have been

adopted at ICCM5³³ including the adoption of the Bonn Declaration for a Planet Free of Harm from Chemicals and Waste and of the Global Framework on Chemicals. For indicator 2 the target has been fully achieved: 6 COP decisions and 1 UNEA resolution (Table 15). Regarding timeliness of milestones achievement, as expected the pandemic affected the ones planned to be achieved in 2020. In particular, the ICCM5 Conference, scheduled for December 2020, was postponed to June 2021, but due to the on-going COVID-19 pandemic restrictions for face-to-face meetings, the conference was postponed a second time to September 2023 (Table 16).

Rating for Achievement of Project Outcome: Highly Satisfactory

Table 15: Achievements for the Project Outcome

Project outcome	Indicators		Achievements	Rating
	At design:	Actual with revisions		
Advisory, policy and coordination support services provided by the secretariat of the Strategic Approach to International Chemicals Management promote changes in policy and in decision making, in line with the 2030 Agenda for Sustainable Development.	<u>Indicator 1:</u> Policy decisions made within the ICCM process for the sound management of chemicals and waste Beyond in line with the 2030 Agenda for Sustainable Development. <u>Baseline:</u> 0, <u>Target:</u>2 <u>Indicator 2:</u> Secretariats of chemicals-related multilateral environmental agreements and UN agencies adopt decisions and promote policies for the sound management of chemicals and waste beyond 2020. <u>Baseline:</u> 0. <u>Target:</u> 4 (UNEP 2018, Minamata 2018, BRS 2019, WHA 2020)	<u>Indicator 1:</u> Policy resolutions made at ICCM5 for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. <u>Baseline:</u> 3; <u>Target:</u> 5 <u>Indicator 2:</u> Secretariats of chemicals-related multilateral environmental agreements and UN agencies adopt decisions and promote policies for the sound management of chemicals and waste beyond 2020. <u>Baseline:</u> 4; <u>Target:</u> 7 3 additional decisions from UNEA5 Part 2 in 2022, Minamata COP4 Part 2 in 2022 and BRS COPs in 2022	<u>Indicator 1:</u> Target exceeded; 11 resolutions t at ICCM5 including adoption of GFC <u>Indicator 2:</u> Target achieved, 1 BRS COP decision (June 2022), 3 BRS COP decisions (June 2019), 2 Minamata COP decisions (Dec 2018 and Dec 2019), 1 UNEA resolution (UNEA 5/7, March 2022)	S

Table 16: Milestone achievements for the Project Outcome

Outcome	Date milestone achieved	
	At design	Actual with revisions
M1 Environmental and Economic policy input given for the SMC and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development through the Global Chemicals Outlook Steering Committee.	June 2018	IP2 meeting, Stockholm, Sweden 13 - 15 March 2018 . Adopted decisions and promoted policies for the SMC and waste beyond 2020
M2 Minamata COP decisions support the sound management of chemicals and waste beyond 2020.	December 2018	Minamata COP2 - took 19 - 23 November 2018 , Geneva, Switzerland. Adopted decisions and promoted policies for the SMC and waste beyond 2020.
M3 Multistakeholder policy input given for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development at SAICM OEWG3.	June 2019	OEWG, 1-4 April 2019 , Montevideo, Uruguay. Provided input for SMC beyond 2020

³³ https://www.chemicalsframework.org/sites/default/files/documents/Report-%20SAICM-ICCM.5-4_27022024.pdf

Outcome	Date milestone achieved	
Milestones	At design	Actual with revisions
M4 BRS COP decisions support a framework for the sound management of chemicals and waste beyond 2020.	December 2019	BC COP-14, RC COP-9, SC COP-9 held back-to-back 29 April - 10 May 2019 , Geneva. Minamata COP3, 25 to 29 November 2019 , Geneva. All COPs adopted decisions and promoted policies for the SMC and waste beyond 2020.
M5 Health policy input given for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development at the World Health Assembly.	June 2020	WHA74 commenced on 24 May 2021 and concluded its sessions on 31 May 2021 – Virtual sessions due to COVID19
M6 Multistakeholder policy decision made for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development.	December 2020	ICCM5 postponed twice to 2021 then to 2023
M7 Four VWGs meetings to support the IP's work and its process	June 2021	Four VWGs carried out in Oct – Nov 2020 – Refer Table 9
M8 Adoption of the SAICM PoW and budget for 2021-2023 through silent procedure	December 2021	Adoption during 18 th Bureau meeting on 6 Oct 2021 - Teleconference
M9 UNEA 5.2 resolutions and Minamata and BRS COP decisions support a framework for the sound management of chemicals and waste beyond 2020.	June 2022	BC COP15, RC COP10, SC COP10, Geneva, Switzerland in June 2022. Decisions supported indirectly SAICM. One decision was for enhanced cooperation between BRS and SAICM. UNEA.5/Res.7, 28 February–2 March 2022 - SMC and waste UNEA.5/Res.8 – march 2022 Science-Policy Panel to contribute further to SMC and waste and to prevent pollution
M10 Fourth meeting of the intersessional process considering the Strategic Approach and sound management of chemicals and waste beyond 2020 (IP4) convened.	December 2022	IP4, 27 August – 2 September 2022 Bucharest, Romania
M11 Resumed session of the fourth meeting of the intersessional process considering the Strategic Approach and sound management of chemicals and waste beyond 2020 (IP4.2) convened.	June 2023	Resumed IP4, 27 February – 3 March 2023 Nairobi, Kenya
M12 ICCM5 convened	December 2023	ICCM5, Bonn, Germany 23 – 27 September 2023
M13 Project document submitted	June 2024	Project document available
M14 GFC Project document approved by	December 2024	

5.4.3 Achievement of Likelihood of Impact

56. The assessment for progress to impact was based on the extent to which the proposed TOC intermediate state “SAICM stakeholders are increasingly implementing the sound management of chemicals throughout their life cycle at all levels” (Figure 2) was emerging. To support the likelihood of impact, the two drivers and the three assumptions linked to the intermediate state and the impact statement were also assessed to verify their validity. The SAICM project under evaluation is the continuity of a Global Strategic Approach for the sound management of chemicals and waste initiative that started in 2006 through the Dubai Declaration. The assessment was mainly based on information gathered and results achieved during the project phase. Information and results from the pre-project period were used to confirm or validate findings.

57. **Intermediate State:** SAICM stakeholders are increasingly implementing the sound management of chemicals throughout their life cycle at all levels. It is assumed that developed / rich countries have robust regulatory framework and adequate enforcing agencies for the SMC and waste. Thus, the intermediate state assessment targeted only the developing countries and countries with economies in transition, which do not have the necessary resources for the proper SMC and waste. All these countries are Parties to and have ratified the Stockholm Convention on Persistent Organic Pollutants (POPs)³⁴. Supported by GEF for enabling activities, all have also submitted their National Implementation Plans on the POPs³⁵. While all are Parties to the Minamata Convention, currently only 90 of them have ratified the Convention³⁶. A total of 79 have submitted their Minamata Initial Assessment (MIA), which is one of the enabling activities supported by the GEF for developing countries and countries with economies in transition³⁷. And 37 that have artisanal and small-scale gold mining and processing activities in their territories have developed and are implementing a national action plan in accordance with Annex C of the Convention³⁸. Over the past three decades, the GEF has provided more than USD25 billion in financing and mobilized USD145 billion in support of developing countries and countries with economies in transition to address complex challenges and work towards international environmental goals³⁹. It has funded a very large number projects through its five focal areas: Biodiversity, Climate Change, Land Degradation, International Waters, and Chemicals and Waste⁴⁰. Currently under GEF8 replenishment, USD5.33 billion has been pledged. Over the eight GEF replenishment periods, the allocation for Chemicals and Waste focal area was in the range of 10 to 15 %.
58. The Special Programme (SP), established in 2015 through UNEA Resolution 1/5, has approved 83 projects across seven rounds of funding supporting 35 projects in Africa, 18 in Asia Pacific, 19 in CEE, and 11 in LAC for capacity building and awareness raising, legislation development, framework strengthening, fulfilment of BRS, Minamata, and SAICM, e-waste management, and plastics among others.
59. The Specific International Programme (SIP) to support Capacity Building and Technical Assistance (SIP) is one of the two components of the financial mechanism of the Minamata Convention on Mercury. Following the decision MC-1/6, the Specific Trust Fund was established, effective, 1 January 2018, to receive funds for the SIP. Since its establishment SIP has approved 24 projects supporting 9 countries in Africa, 7 in Asia Pacific, 3 in CEE, and 5 in LAC. Currently, 10 projects are completed and 14 are on-going.⁴¹
60. Findings of the survey carried out for this evaluation (Section 2) revealed that 16 of the 18 respondents indicated that QSP somewhat or satisfactorily contributed to build national capacity for SMC and waste in their respective countries. And 15 out 18 replied that the capacity built through QSP somewhat or satisfactorily contributed to the actual SMC and waste. These results nevertheless reflect only the views of 18 countries, noting that survey questionnaires were sent to 96 National Focal Points.

³⁴<https://www.brsmeas.org/Decisionmaking/PartiestotheConventions/Statusofratification/tabid/5936/language/en-US/Default.aspx>

³⁵ <https://www.pops.int/Implementation/NationalImplementationPlans/NIPTransmission/tabid/253/Default.aspx>

³⁶ <https://minamataconvention.org/en/parties/overview>

³⁷ <https://minamataconvention.org/en/parties/minamata-initial-assessments>

³⁸ <https://minamataconvention.org/en/parties/national-action-plans>

³⁹ <https://www.thegef.org/who-we-are>

⁴⁰ <https://www.thegef.org/projects-operations/database>

⁴¹ <https://minamataconvention.org/en/implementation/specific-international-programme/dashboard>

61. In 2023, the Secretariat undertook a survey to gather information in six key categories for the progress report covering the period 2020 – 2022⁴². Although all the SNFPs were notified, only 27 responded and 22 were from developing countries and countries in economies in transition (7 Africa, 3 Asia Pacific, 6 CEE, and 6 LAC). None of the SAICM Regional Focal Points were among the 22. This very low response rate, similar to the evaluator's one for this evaluation, undermines the credibility and reliability of the process, as SNFPs are the key stakeholders to provide national data for informed decisions on the way forward. The GFC is planning to develop guidelines for National Focal Points. It is recommended that these guidelines should include, where relevant, requirements for regular reporting and communication. The results of the Secretariat's survey on the six categories from the 22 countries, summarized below, indicated good progress for the reporting period with:

- Establishment of intersectoral committee / board / commission for SMC: 14 countries
- Establishment and strengthening of legislation and regulatory framework: 20 countries
- Mainstreaming SMC in sustainable agenda – plans, policies: 20 countries
- Increase risk reduction and information sharing efforts on emerging policy issues: 15 countries
- Promotion of information access: 21 countries
- Assessment of progress toward the 2020 goal of minimizing the adverse effects of chemicals on human health and the environment: 20 countries

62. An impact evaluation of QSP was undertaken in 2015⁴³. The report concluded that the QSP has demonstrably met, and in many cases exceeded, its objective of establishing enabling environments for sound management of chemicals at the national level, and particularly in the high proportion of LDCs and SIDS. The impact evaluation reported that many projects developed externally-funded projects, which effectively continued QSP projects (e.g., with funds from GEF, UN agencies, NGOs and donors); however few countries were able to follow up with resources allocated from national budgets; and even fewer were able to give examples of economic instruments to promote industry participation in financing for chemical management. These findings underline the challenges faced by the developing countries and countries with economies in transition to mobilize funding for SMC and waste.

63. In light of the above, there is evidence that countries are increasingly taking actions for the sound management of chemicals. However, for many countries, these efforts would not be sustainable without external funding. Emergence of the Intermediate State is rated **Moderately Satisfactory**.

64. **Driver 1: Chemicals and waste mainstreamed in international fora.** Since the Rio Declaration on Environment and Development in 1991, a number of global indicatives have been established: Rotterdam Convention, 1998; Stockholm Convention, 2001; SAICM, 2006; Minamata Convention, 2013. One of eight Millennium Development Goals (MDGs) adopted at the Millennium Summit, 6 – 8 September 2000, UN Headquarters, New York, was to ensure environmental sustainability⁴⁴. The sound management of chemicals and wastes are cross cutting among many of the 17 Sustainable Development Goals of

⁴² <https://www.saicm.org/Implementation/Reporting/tabid/5462/language/en-US/Default.aspx>

⁴³ <https://www.saicm.org/Portals/12/Documents/QSP/QSP%20Impact%20Evaluation%20Report.pdf>

⁴⁴ <https://www.un.org/en/conferences/environment/newyork2000>

the 2030 Agenda for Sustainable Development⁴⁵. The Political Declaration adopted at the High-level Political Forum on Sustainable Development, New York, in September 2023 reaffirmed the commitment to effectively implement the 2030 Agenda and its SDGs and uphold all principles enshrined in it⁴⁶. The United Nations Environment Assembly at its Sixth session held in Nairobi, 26 February–1 March 2024, adopted UNEA Resolution 6/9 on the sound management of chemicals and waste⁴⁷. Rating for **Driver 1** is **Satisfactory**.

65. **Driver 2:** *SAICM stakeholders are the most significant actors in chemicals and waste management.* As discussed earlier, the SAICM countries have significantly benefitted from the GEF, SP, and SIP for SMC and waste. Generally, the other stakeholders very active actors in contributing to achieve the SAICM goals. Each contributed through their specific roles and expertise to advance sound chemicals management globally. Among others, in addition to the initiatives highlighted previously (Section 5.1.3), UNEP has been highly active in pursuing numerous other efforts to promote the sound management of chemicals and wastes. In collaboration with the Secretariat of the Basel, Rotterdam, Stockholm Conventions and with the Secretariat of the Minamata Convention, UNEP implemented a project, funded by the China Trust Fund, in Asia (2018-2022) aiming to further enhance the understanding and capacities required to implement chemicals and waste. With financial support from GEF, UNEP is supporting 32 Stockholm Convention Parties in reviewing and updating their National Implementation Plans (NIPs) according to Article 7 of the Convention⁴⁸. To help Parties to organize and facilitate the use of their NIP and POPs inventories data, UNEP is implementing a project on development of Integrated Electronic Toolkit for the submission of NIPs in a harmonized manner with the reporting under Articles 7 and 15 of the Convention⁴⁹. In support of the implementation of Article 16 of the Stockholm Convention on Effectiveness Evaluation, UNEP continued to execute four follow-up projects on the Global Monitoring Plan for POPs started in 2016 and to be completed by 2024⁵⁰. In collaboration with UNIDO, UNEP is implementing a GEF funded project aiming to develop and promote non-POPs alternative to DDT for introducing bio- and botanical pesticides and other locally appropriate cost-effective and sustainable alternatives to DDT as a first step for reduction and eventual elimination of dependency on DDT, ensuring food safety, enhancing livelihood, and protecting human health and the environment. DDT is one of the highly hazardous pesticides (HHPs)⁵¹. UNEP is implementing a regional project in Bangladesh, Indonesia, Pakistan and Viet Nam to deliver significant reductions in the use of POPs, POP candidates and other priority chemicals of concern (CoCs) in the manufacture of textiles processing chemicals and textile products in beneficiary countries⁵². UNEP is also the lead agency for the GEF Programme “Implementing Sustainable Low and Non-Chemical Development in Small Island Developing States, ISLANDS”. It aims to assist 33 Small-Islands Developing States with the management of chemicals and chemicals-containing products. The Programme is contributing to the implementation of the Minamata and Stockholm Conventions as well as SAICM/GFC and will help island countries prevent the release of over 23,000

⁴⁵ <https://www.un.org/sustainabledevelopment/development-agenda/>

⁴⁶ <https://www.un.org/en/conferences/SDGSummit2023/political-declaration>

⁴⁷ <https://documents.un.org/doc/undoc/gen/k24/008/19/pdf/k2400819.pdf>

⁴⁸ <https://www.thegef.org/projects-operations/projects/10785>;

⁴⁹ <https://www.thegef.org/projects-operations/projects/9884>

⁵⁰ <https://www.thegef.org/projects-operations/projects/4894>; <https://www.thegef.org/projects-operations/projects/4886>; <https://www.thegef.org/projects-operations/projects/6978>; <https://www.thegef.org/projects-operations/projects/4881>

⁵¹ <https://www.thegef.org/projects-operations/projects/4612>

⁵² <https://www.thegef.org/projects-operations/projects/10523>

metric tons of toxic chemicals and more than 185,000 metric tons of marine litter by 2027⁵³.

66. Although it did not report to SAICM for the period 2020 - 2022, the United Nations Industrial Development Organization (UNIDO), as a GEF implementation agency, has undertaken a large number of initiatives to support countries in meeting their commitments under the Stockholm and Minamata Conventions. These efforts aimed to promote sustainable industrial development while reducing the environmental and health impacts of hazardous substances. Over the decades the GEF has provided UNIDO with over \$1 billion in grants for UNIDO to support more than 400 project in over 100 countries, covering a variety of environmental and industrial development issues. The UNIDO-GEF alliance is helping countries to achieve the Global Environmental Benefits (GEBs) by reducing GHG emissions, enhancing climate resilience, eliminating chemical waste, protecting biodiversity, reducing land degradation and improving quality of international water bodies⁵⁴.
67. The FAO is supporting countries, on capacity building to address all aspects of pesticides, from production to disposal of waste, by strengthening regulatory frameworks, risk assessment and registration, post-registration compliance, laboratory capacity, judicious use, and waste management. In collaboration with the GEF and UNEP, it is assisting Caribbean and Pacific countries in sound management of pesticides and their waste⁵⁵. Jointly with WHO and in collaboration with UNEP and OECD, it is also supporting countries on the implementation of the International Code of Conduct on Pesticide Management⁵⁶. It is also focused on reducing the risks and impacts of highly hazardous pesticides (HHPs) by raising awareness, strengthening governance, supporting structural and technical capacities, and promoting viable alternatives to HHPs⁵⁷.
68. The ILO produced a series of technical publications on E-waste to promote capacity building among its constituents and stakeholders to better tackle this issue. In addition, the ILO has joined the UN Coalition to Tackle Electronic Waste. The ILO has also hosted a high-level Forum, 9-11 April 2019, to discuss current and emerging issues related to decent work in the management of the E-waste sector ⁵⁸.
69. The World Bank, an implementing agency of the GEF and of the Multilateral Fund for the Implementation of the Montreal Protocol, is working with developing countries and countries with economies in transition to develop and implement environmental policies and to carry out the investments and build capacities for meeting their obligations under international environmental treaties⁵⁹. The World Bank Group has been active in public and private sector pollution management for several decades and has a strong track record of supporting developing countries in tackling chemical pollution challenges. Between 2003 and 2022, the World Bank Group implemented pollution management projects with a total commitment of USD 52 billion.

⁵³ https://open.unep.org/docs/gef/CEO/10472_CEO%20Request.pdf

⁵⁴ <https://www.unido.org/unido-gef>

⁵⁵ <https://www.gefislands.org/Caribbean>

⁵⁶ <https://www.fao.org/pest-and-pesticide-management/guidelines-standards/faowho-joint-meeting-on-pesticide-management-jmpm/meetings/en/>

⁵⁷ Addressing Highly Hazardous Pesticides (HHPs). <https://www.fao.org/pest-and-pesticide-management/pesticide-risk-reduction/hhps/en/>

⁵⁸ <https://www.ilo.org/meetings-and-events/global-dialogue-forum-decent-work-management-electrical-and-electronic>

⁵⁹ <https://www.saicm.org/Implementation/Reporting/tabid/5462/language/en-US/Default.aspx>

70. The IOMC, with organizational support provided by UNITAR, arranged for six global IOMC webinars from 2021-2023 to disseminate information on topics for the Sound Management of Chemicals and Waste Beyond 2020 (Cf. Section 5.1.1 Under **Output 3**)⁶⁰. During the period 2020-2023, UNITAR added a series of learning platforms and online courses. The purpose of such learning materials was to provide key information on chemicals and waste management to trainers and other stakeholders, while providing training materials in a standardized manner and accessible to the general public at large⁶¹.
71. ICCA and its member organizations are strongly committed to implementing the Strategic Approach through Responsible Care®⁶². Chemical companies around the world improve their performance, respond to stakeholders' concerns, and foster the safe management of chemicals in commerce. The ICCA Capacity Building Task Force cooperates with regulators and enforcement authorities to prevent illegal diversion of chemical products, developing emergency response programs, and training distributors on safe handling. The ICCA Long Range Research Initiative's mission is to identify and fill gaps in the understanding of the hazards posed by chemicals and to improve the methods available for assessing the associated risks. The Research Portfolio funds is supporting over 100 projects within 3 priority areas.
72. The International Pollutants Elimination Network (IPEN) comprising almost 650 NGOs in more than 125 countries are committed to strengthen global and national chemicals and waste policies⁶³. During the past decades, IPEN developed and executed activities to promote effective SAICM participation and undertake enabling and implementation activities for NGOs and CSOs in developing and transition countries in the following areas. (1) Elimination of lead paint: Since 2017, IPEN has conducted studies of lead in paint sold for home use in 23 countries, all showing lead paint being readily available on the market. In addition, a regional African and a Global paint report were developed and released. (2) Heavy metals program: The IPEN Mercury-Free Campaign continued its series of human biomonitoring studies with a focus on publishing new data from Small Island Developing States and a major global study of mercury in women of child-bearing age in 25 countries. (3) Targeted work on SAICM emerging policy issues: IPEN Participating Organizations have actively engaged on all eight of SAICM's current emerging policy issues and issues of concern⁶⁴. (4) Work on SAICM Global Plan of Action items in eight IPEN regions: More than 450 activities conducted by IPEN Participating Organizations that related to SAICM in the period from 2017-2019. (5) Contribution to achieving Sustainable Development Goals (SDGs): IPEN implemented a toxics-free SDGs campaign, including a pledge for public interest NGOs and a variety of activities, contributing to 16 of the 17 SDGs.
73. Health Care Without Harm (HCWH)⁶⁵ contributions to SAICM for the period 2020 – 22 included among others⁶⁶ (1) Promoting and reinforcing commitment and multisectoral engagement of health sector stakeholders from governments, national health systems and civil society in partnership with WHO and UNDP. (2) National policy developed in

⁶⁰ Refer to footnote 31.

⁶¹ <https://cwplatforms.unitar.org/>

⁶² <https://icca-chem.org/>

⁶³ <https://www.saicm.org/Implementation/Reporting/tabid/5462/language/en-US/Default.aspx>

⁶⁴ These issues are: elimination of lead in paint; chemicals in products; hazardous substances within the lifecycle of electrical and electronic products; nanotechnologies and manufactured nanomaterials; endocrine disrupting chemicals; highly hazardous pesticides; environmentally persistent pharmaceutical pollutants; and per- and polyfluorinated chemicals (PFCs or PFAS).

⁶⁵ <https://noharm.org/>

⁶⁶ <https://www.saicm.org/Implementation/Reporting/tabid/5462/language/en-US/Default.aspx>

three countries: China, India and Vietnam and sub-national policy in Free State, South Africa (3) The Sustainable Procurement Index for Health launched in 2021.

74. In light of the substantive efforts made by the SAICM stakeholders to promote SMC and waste, **Driver 2** is rated **Satisfactory**.
75. **Driver 3:** *Gender, vulnerable groups and the poor are integrated as recognized to be vulnerable, and important actors in action to addressing waste and chemicals management.* Given the nature of the project, which was the facilitation of negotiations to develop the new framework, this driver was not assessed. However, the project document of the new framework (GFC) mentions that in the context of chemical management and safety, gender mainstreaming is a crucial human rights and development issue. Policies and programs in this sector must integrate the concerns and experiences of both genders to promote equality. This approach aligns with international human rights instruments and plays a key role in managing chemicals and waste, contributing significantly to gender equality⁶⁷. It is recommended that the GFC Secretariat ensures the integration of gender dimensions and human rights during the implementation of projects funded by the GFC Trust Fund (TF).
76. **Assumption 1:** *Engagement of industry and private sector.* As discussed earlier (**Driver 2**), ICCA has played a crucial role in advancing chemical safety and sustainability through its several key initiatives that are aligned with SAICM objectives. However, given the scale of the chemicals sector, there is need for greater involvement of the industry and the private sector to achieve chemical safety globally. **Assumption 1** is rated **Moderately Satisfactory**.
77. **Assumption 2:** *Public support for chemicals and waste management.* Public support for chemicals management is essential for ensuring safe production, use, and disposal of chemicals in a way that protects human health and the environment. Through the support of its network of 650 NGOs⁶⁸, IPEN has been a major key player in promoting chemicals management and safety across 125 countries. The network has worked with grassroots organizations, local environmental NGOs and communities to raise awareness and advocate for stronger regulations. There are numerous examples of public support and success stories in their endeavour in advocating for SMC⁶⁹. One IPEN notable success story: *During an awareness Forum on Lead Paint Elimination in promoting and protecting the health of Gambian children, the health of other vulnerable groups such as women and workers and stakeholders, all participants of the Forum signed of the Declaration of Unity toward Banning Lead Paint in The Gambia.* Numerous examples success stories from the QSP projects are reported on the SAICM website⁷⁰. As **Assumption 2** is proving to hold, rating is **Satisfactory**.
78. **Assumption 3:** *Global political economy conducive to chemicals management.* Evidence of a conducive global political economy can be seen through the growing support for MEAs including the BRS and the Minamata Conventions, green financing⁷¹, and the increasing integration of sound chemicals management into the sustainable development goals. As discussed in the previous sections (**Intermediate State and Driver 1**), several key milestones and instruments have supported or are supporting sustainable

⁶⁷ Annex 3 Section 3 of the GFC Project Document.

⁶⁸ Paragraph 72

⁶⁹ <https://www.saicm.org/Implementation/Reporting/tabid/5462/language/en-US/Default.aspx>

⁷⁰ <https://www.saicm.org/QuickStartProgramme/QSPStories/tabid/5858/language/en-US/Default.aspx>

⁷¹ <https://www.unep.org/regions/asia-and-pacific/regional-initiatives/supporting-resource-efficiency/green-financing>

development and SMC. These include the GEF, SP, SIP, the Millennium Summit, the Sustainable Development Goals of the 2030 agenda, and UNEA resolutions.

79. Two of the three drivers are proving to be strong with increasing global consensus on the need for SMC and the stakeholders supporting the Strategic Approach. Similarly, two of the three assumptions are generally proving to hold, but more engagement of the private sector and the industry is encouraged. The intermediate state presents some moderate challenges related to the non-availability of financial resources and low involvement of the private sector at national level meaning that while global sound management of chemicals is likely to progress, full realization of goals and impact would take time and would require more effort.

Rating for Achievement of Likelihood of Impact: Moderately Likely

Rating for Effectiveness: Satisfactory

5.5 Financial Management

5.5.1 Adherence to UNEP's Financial Policies and Procedures

80. There is documented evidence that the Secretariat applied the UNEP internal financial controls and procedures for financial management. For any financial transaction, the proper authorizations were secured from the relevant officers including the SAICM coordinator and the Financial Management Officer (FMO) in accordance with established thresholds and procedures. The FMO ensured that financial activities were properly done, monitored, recorded, and reported⁷². For instance, a GFC account has not yet been officially established within the UNEP accounting system, UMOJA, the 2024 contributions from donors, that were committed to GFC, could not be accessed by the SAICM Secretariat (cf. Section 3.6, paragraph 34). The 2024 ICCA contribution was credited to the SAICM account as the agreement was signed before the adoption of GFC at ICCM, 23 – 27 September 2023. In general, the disbursements of funds or payments were timely approved. However, in some instances, there were slight delays caused by administrative difficulties within UNEP, by delay in funds transfers from the donors, approval processes taking longer than expected, or missing documentation⁷³.

Rating for Adherence to UNEP's Financial Policies and Procedures: Satisfactory

5.5.2 Completeness of Financial Information

81. The annual budget, planned at the beginning of each financial year, was aligned with planned activities, required staff, and associated costs, and based on the mobilized funds, noting that donors allocate fundings on a yearly basis (Table 6). All unspent balances were brought forward for the next financial year. For this TE, the planned budget and actual expenditures for the period 2018 to 2024 were made available (Table 17). Table 17 reveals over-expenditure in some years and unspent balances in others. These were attributed to unforeseen situations such as the COVID-19 pandemic for 2020, or higher than anticipated costs for 2023 when the ICCM5 Conference was held. Overall, the total expenditures were less than the total planned budget for the period ending December 2024.
82. Below is a summarized budget table (Table 18) showing the staff (46.5%) and travel (17.7%) items were the highest cost-wise; this is considered by the evaluator to be typical for projects like SAICM where meetings were the main activities. The varying staffing

⁷² Interview data

⁷³ Interview data

costs reflect the recruitment of staff and consultants confirming the understaffing of the Secretariat as mentioned by some respondents.

Table 17: Yearly budgets and expenditures for the period 2018 – 2024

Year	Planned Budget (USD)	Expenditures (USD)
2018	2,750,188	1,243,474
2019	1,170,844	2,505,950
2020	2,489,207	1,448,771
2021	1,637,491	1,575,314
2022	3,053,607	2,982,165
2023	4,843,300	5,309,843
2024	965,648	1,115,068
Total	16,910,288	16,180,588

Table 18: Yearly expenditures (USD) per budget line for the period 2018 – 2024

Item	2018	2019	2020	2021	2022	2023	2024	Total	%
Staff and other personnel costs	392,903	1,002,463	958,238	1,047,720	1,607,263	1,579,709	937,461	7,525,760	46.5
Contractual Services	58,460	56,559	1,253	750	165,928	141,444	7,818	432,214	2.7
Operating & other direct costs	275,854	136,583	57,974	188,929	130,290	1,051,062	-121,787	1,718,906	10.6
Supplies & Materials	0	0	0.00	0	0	102,053	98,916	200,969	1.2
Equipment Vehicles & Furniture	0	0	1,856	0	0	0	476	2,332	0.01
Transfers and Grants Issued to Implement	94,099	380,287	116,048	155,862	354,278	338,740	94,853	1,534,170	9.5
Grants Out	47,128	11,913	90,290	0	0	0	0	149,332	0.9
IP-PSC	0.00	0.00	5,179.20	8,847	-2,244	-20	0	11,760	0.07
UN-PSC	124,806	261,997	165,294	170,501	339,342	586,751	97,813	1,746,507	10.8
Travel	250,222	656,145	52,636	2,703	387,306	1,510,101	-503	2,858,612	17.7
Total	1,243,474	2,505,950	1,448,771	1,575,314	2,982,165	5,309,843	1,115,048	16,180,588	100

Rating for Completeness of Financial Information: Satisfactory

5.5.3 Communication Between Finance and Project Management Staff

83. As discussed earlier, the UNEP internal standards policies and procedures were applied for financial management. While most donors provided funds without specific conditions, a few donors allocated their contributions for specific activities. It was thus important to manage the funds transparently and strategically to maximize impact while respecting donor preferences. The Secretariat was in regular communication with the FMO in budget planning, for procurement of services, and for disbursements of funds and payments. For example, while planning for the organization meetings, the FMO was contacted to confirm

whether the budgets were sufficient to meet the meeting costs. The Secretariat met with the FMO in Geneva on a weekly basis⁷⁴.

Rating for Communication between Finance and Project Management Staff: Satisfactory

Rating for Financial Management: Satisfactory

5.6 Efficiency

84. The outbreak COVID-19 pandemic severely impacted implementation in 2020, five extensions were granted to allow for the completion of activities and for the smooth transition from SAICM to GFC. These extensions required additional funds (Table 17), and these were provided timely by the donors (Table 6). Despite chronic understaffing (Table 19), the Secretariat was able to deliver on its mandate in successfully achieving all targets (cf. Section 5.4) within the available budgets (cf. Section 5.5). Except for those planned in 2020, all the milestones were timely achieved (Tables 10, 12, and 14).
85. Some factors that affected efficiency negatively include turn overs of SAICM Coordinators, poor involvement of SNFP, and strong opposition of some stakeholders for online ICCM and IP meetings. On the other hand, a number of factors contributed to efficiency. These include SAICM Secretariat hosted in the Chemicals and Health Branch of UNEP's Industry and Economy Division, which allowed the optimisation its functions through building on existing structures and expertise. The donors' regular contributions and the stakeholders' (ICCA, IOMC, UNITAR, IPEN, IGOs, NGOs) in-kind contributions and engagement greatly supported the implementation of the Strategic Approach. Countries hosting meetings (IP, OEWG and regional meetings) by providing meeting venues and logistics allowed significant cost savings. The back-to-back meetings with other events, and teleconference replacing face-to-face meetings (Bureau and technical meetings) during the pandemic and after also contributed to cost effectiveness. For example, the back-to-back regional meetings with ICCM5 in Bonn, 23 – 27 September 2023, allowed a cost saving of about 33%. The total costs for these meetings were about USD3.5 M. Had these meetings been undertaken separately, the total costs would have been about USD 4.64 M⁷⁵. The three complementary initiatives mentioned earlier (Section 5.1.3) also contributed to efficiency.

⁷⁴ Interview data

⁷⁵ Interview with FMO

Table 19: Secretariat Staffing for the period 2018 – 2023

SAICM Secretariat Staffing									
From the ProDoc (At Design)				2018	2019	2020	2021	2022	2023
Name	Level								
Brenda Koekkoek	P4	Chemicals &Health Branch	XB	X	X	X			
Nalini Sharma	P5	Chemicals &Health Branch	EF				X	X	
Pierre Quiblier	P4	Chemicals &Health Branch	EF (OIC)					X	X
Rafal Zygmunt Brykowski	P4	Chemicals &Health Branch	XB					X	X
Jose de Mesa	P3	Chemicals &Health Branch	EF XB from 2020	X	X	X	X	X	X
Juan Caicedo	P3	Chemicals &Health Branch	XB				X	X	X
Eduardo Caldera	P3	Chemicals &Health Branch	XB		X	X	X	X	X
Aitziber Echeverria	P3	Chemicals &Health Branch	XB	X	X	X			
Maria Delfina Cuglievan	P2	Chemicals &Health Branch	XB		X	X	X	X	X
Oleksandr Nazarenko	G4	Chemicals &Health Branch	XB		X	X	X	X	X
Lina Fortelius	JPO*	Chemicals &Health Branch	EB 50% / 50% JPO	X					
Jordi Pon		LAC	RB** (10%)	X					
Kakuko Nagatani		ASP	RB	X					
Mike Hertoghs		Europe Region	RB	X					
Abduraman Bary		Africa	RB	X					
Prisca Chulley	G4	Chemicals &Health Branch	XB	X	X	X	X	X	X

* Junior Professional Officer bilaterally finance by country; ** Regular budget

Rating for Efficiency: Satisfactory

5.7 Monitoring and Reporting

5.7.1 Monitoring Design and Budgeting

86. Building on the project logical framework, a monitoring plan⁷⁶ was designed indicating which parameters would be monitored on a six-monthly basis, describing how the data for monitoring progress would be collected and who would responsible, and included specific milestones and indicators that corresponded to the specific project outputs and outcomes. As the monitoring was done internally by the Secretariat, no budget was allocated for the monitoring activities. In line with UNEP Policy, a terminal evaluation, to be managed by the UNEP Evaluation Office, was planned⁷⁷. However, this activity was not budgeted. As per the Project Information Table of the project document, a midterm review was planned but also not budgeted.

⁷⁶ Table 8, Section 7 of the project document

⁷⁷ Section 10 of the project document

Rating for Monitoring Design and Budgeting: Moderately Satisfactory

5.7.2 Monitoring of Project Implementation

87. The monitoring system was operational. With the five revisions, the targets as well as baseline data for outputs and outcome were revised accordingly, and the output titles were also adjusted (Tables 4 and 5). There is clear evidence that the proposed monitoring plan was used as basis for monitoring progress. The progress reports shared with the evaluation included the monitoring of targets and milestones for the outcome and the outputs, reporting on project highlights, lessons learned, challenges faced, and management actions taken for mitigation. The midterm review did not take place because of the pandemic.

Rating for Monitoring of Project Implementation: Satisfactory

5.7.3 Project Reporting

88. As discussed earlier (Section 5.7.2), the Secretariat was effectively monitoring progress. The reporting requirements were accomplished, and reports were timely submitted to the Bureau, the Conference and UNEP.

Rating for Project Reporting: Satisfactory

Rating for Monitoring and Reporting: Satisfactory

5.8 Sustainability

89. Sustainability ensures that the benefits and outcomes of a project continue to impact stakeholders positively even after the project period ends. Developing countries and countries with economies in transition often face unique challenges, such as limited institutional capacity, funding constraints, and high vulnerability to chemical risks. The assessment targeted these categories of countries. This criterion has been assessed in terms of the risks, the higher the risks the lower the likelihood of sustainability of project benefits.

5.8.1 Socio-political Sustainability

90. As previously reported (Section 5.4.3, under **Intermediate State**), there is a high level of ownership, interest and commitment among governments and all the countries are parties to and have ratified the Stockholm and Minamata Conventions, and the Montreal Protocol. They have significantly benefited from international funding mechanisms (GEF, SP, SIP) to fulfil their obligations with regards to these international agreements. They have already nominated a GFC Focal Point. These findings underline the commitment of the past and present governments of these countries for the SMC and waste, there are no particular reasons for the commitment of future governments to change.

Rating for Socio-political Sustainability: Likely

5.8.2 Financial Sustainability

91. It was recognized that the SAICM 2020 goals were not achieved mainly due to insufficient financial resources. Many respondents pointed out this issue and requested more funding to assist the developing countries. They mentioned that financial resources, not available locally, were the limiting factors to advance the sound management of chemicals agenda, which was also highlighted in the findings of impact evaluation of the QSP⁷⁸. These

⁷⁸ Paragraph 54

findings underscore the urgent need for more robust financial resources available to developing countries and countries with economies in transition.

Rating for Financial Sustainability: Moderately Unlikely

5.8.3 Institutional Sustainability

92. As previously discussed, (Section 5.4.3 under **Intermediate State**), SAICM has put in place a robust mechanism that has catalysed significant efforts to strengthen institutional capacity for SMC globally, particularly in developing countries. However, more efforts are required as according to the 2020 – 2022 progress report⁷⁹, only 53 countries have developed a SAICM Nation Plan, 69 countries were in full or part compliance with the Globally Harmonized System of Classification and Labelling of Chemicals (GHS), and only 53 countries have established the Pollutant Release and Transfer Register database (PRTR), none in Africa. As highlighted in the report of TE of SAICM⁸⁰, while a range of successful examples of governments mainstreaming chemicals management into national legislation, policies and institutions as a result of QSP funded projects, not all countries were able to do this due to a number of factors, such as the lack of priority of chemicals management in national agendas, a lack of technical capacity or the loss of developed capacity due to turnover of personnel, as well as the lack of capacity for inter-departmental collaboration and coordination required for effective chemicals management.

Rating for Institutional Sustainability: Moderately Likely

Rating for Sustainability (Likelihood): Moderately Unlikely

5.9 Factors Affecting Performance and Cross-Cutting Issues

5.9.1 Preparation and Readiness

93. The SAICM Secretariat played a pivotal role in coordinating efforts to implement the Strategic Approach for the period 2006 to 2017. The decision to maintain its existing structure and staff offered several advantages in terms of continuity, operational efficiency, and resource optimization as well as institutional knowledge and established processes to achieve the project's objective. At the start of the project under evaluation, some of the staff including the Coordinator and the QSP Officer (both staff since 2013) were already part of the Secretariat, others joined in 2018 or after. According to a few respondents the turnover of SAICM coordinators, who had different visions and ways of management caused some conflicting views, which created a negative working atmosphere, and the chronic understaffing undermined the smooth running of the Secretariat. Despite these challenges, the Secretariat has demonstrated remarkable resilience and readiness in delivering on its mandate.

Rating for Preparation and Readiness: Satisfactory.

5.9.2 Quality of Project Management and Supervision

94. The project implementation structure outlined in Section 4 of the project document was established, the key players being the Bureau and the Secretariat. The members of the Bureau as well as Regional Focal Points and other Bureau members were elected at

⁷⁹ UNITAR report submitted to SAICM can be accessed at <https://www.saicm.org/Implementation/Reporting/tabid/5462/language/en-US/Default.aspx>

⁸⁰ Strategic Approach to International Chemicals Management Secretariat SAICM, Robert Nurick, December 2018, UNEP Evaluation Office, paragraph 136

ICCM4⁸¹. There is documented evidence that the Bureau has consistently fulfilled its role in providing strategic direction and guidance to support effective implementation. A total of 24 Bureau meetings were held between June 2018 and September 2023⁸². These regular meetings have ensured continuity in oversight and decision-making processes. Despite the internal issues raised earlier, the performance of the Secretariat has been widely recognized and highly appreciated by stakeholders⁸³. This reflects the dedication of the Secretariat staff, effective collaboration, and ability to deliver meaningfully despite staffing constraints.

Rating for Quality of Project Management and Supervision: Highly Satisfactory.

5.9.3 Stakeholders Participation and Cooperation

95. There is a strong body of evidence that most stakeholders including IOMC and the participating organizations such as UNITAR, ILO, WHO; IPEN, and some governments contributed significantly, on indicators and Emerging Policy Issues (EPIs) among others, during the negotiations to establish the new framework. In addition, some countries and ICCA provided financial support (Table 6), and IGOs and NGOs provided in-kind support. On the other hand, although all the SNFPs consistently attended the SAICM meetings (ICCM, IP, OEWG), and some providing inputs during negotiations, the poor engagement of many others (consistent low participation rates. E.g. only 28 countries reporting for the period 2020-2022) and their failure to provide requested information remain persistent challenges (cf. Section 2, paragraph 15; Section 5.4.1 under Output 2; Section 5.4.3, under Intermediate State). The engagement of SNFPs, serving as key liaisons between the countries and SAICM, are instrumental for implementing the Strategic Approach at national level. The limited involvement of many of them and insufficient information sharing hindered meaningful decision-making and overall effectiveness.

Rating for Stakeholders Participation and Cooperation: Moderately Satisfactory.

5.9.4 Responsiveness to Human Rights and Gender Equality

96. The human rights principles were considered in the project document⁸⁴. It proposed that the project would make an effort to include any potentially affected stakeholders, in particular marginalized groups, in the decision-making processes that may affect them. It would also respond to any significant concerns or disputes raised during the stakeholder engagement process. The project would also make an effort to avoid inequitable or discriminatory negative impacts on quality of and access to resources or basic services, on affected populations, particularly people living in poverty or marginalized or excluded individuals or groups. Given the nature of the project, with no interventions at country level, these human rights considerations were not possible to assess. However, they were considered during negotiations to develop the new framework and are included in the GFC project document⁸⁵. It is recommended that the GFC Secretariat ensures that the human rights considerations are fully taken into account during the implementation of the projects funded by the GFC TF.

⁸¹ Geneva, 28 September–2 October 2015

⁸² <https://www.saicm.org/About/Bureau/Bureaumeetings/tabid/5949/language/en-US/Default.aspx>

⁸³ Feedback gathered during interviews and the survey

⁸⁴ Annex D of the project document: Environmental Social and Economic Review Note

⁸⁵ Annex D Section 3 of the GFC Project Document

97. The gender dimension was also considered in the project document. In particular, it acknowledged that exposure to chemicals would affect both men and women⁸⁶. On the institutional level, it aimed to promote, to the extent possible, integration of gender considerations into its own activities and to mainstream the gender dimension in chemicals and waste management⁸⁷. This has been translated into the implementation process by incorporating women in discussions, inviting them to the meetings (IP, OEWG, ICCM, etc.) taking stock of their contributions and including gender into the final texts of the documents developed during negotiations. The SAICM Secretariat actively worked with the MSP Institute, an institute which focuses on high-quality multi-stakeholder processes (MSPs) for sustainable development and asked interested stakeholders to submit comments on information on the integration of a gender perspective into policies, plans and actions within the framework of their activities, in the context of chemicals and waste management. The inclusion of these gender considerations in GFC is a crucial aspect of ensuring equity and inclusiveness. It is recommended that the GFC Secretariat ensures that these proposed considerations are fully implemented. Generally, the participation of women was also quite satisfactory. The staffing of the Secretariat was well balanced gender wise (Table 19). For the evaluation, 13 of the 21 stakeholders interviewed were women. The participation of women in the webinars organized by IOMC/UNITAR in March/April 2021 was very satisfactory (Table 20).

Table 20: Webinars organized by IOMC/UNITAR

Topic of webinar	Participation
Addressing Illegal trade and traffic of Industrial Chemicals, Pesticides and Waste	194 participants, 49% males and 51% females
Leveraging Green and Sustainable Chemistry for Sound Management of Chemicals,	163 participants, 58% males and 42% females.
Chemical accident prevention, preparedness and response	187 participants, 51% males and 49% females.
Financial considerations for Chemicals and Waste Management	123 participants, 51% males and 49% females.

Rating for Responsiveness to Human Rights and Gender Equality: Satisfactory

5.9.5 Environmental and Social Safeguards

98. As per Annex D of the project document, the project would take precautionary measures if the approach had a potential risk of causing harm to the people or to the environment, even if some cause-and-effect relationships were not fully established scientifically. There is documented evidence of SAICM partners' efforts to integrate social safeguards into their initiatives. As reported earlier (Section 5.4.3 under Intermediate State, Driver 2 and Assumption 2), all the partners are promoting the sound management of chemicals to protect human health and the environment. In particular, they are playing a vital role in advancing social safeguards in global efforts in eliminating lead in paint (IPEN), and in reducing risks and impacts of highly hazardous pesticides through awareness raising among others (FAO).

⁸⁶ Page 20 of the project document

⁸⁷ Page 21 of the project document

Rating for Environmental and Social Safeguards: Satisfactory

5.9.6 Country Ownership and Driven-ness

99. While all SNFPs attended all the meetings for negotiations to establish new framework, there were varying levels of engagement among them. While many were quite proactive during the negotiations, others showed limited interest⁸⁸. Furthermore, as previously discussed, (Section 5.9.3), the limited engagement of some of the SNFPs during regional activities, and their insufficient reporting during surveys carried out by the Secretariat (20% response rate for the 2023 survey and between 30 and 37 % for pre-project period surveys) remain significant challenges.

Rating for Country Ownership and Driven-ness: Moderately Unsatisfactory

5.9.7 Communication and Public Awareness

100. Communication and awareness were the purpose of Output 3. As summarized in Section 5.4.1 (Tables 10 and 11) the project has performed particularly well in exceeding the target for Indicator 1: Communication and outreach products developed, 64 products developed against 58 planned. The key milestone was the establishment of the Knowledge Management Platform⁸⁹. The platform hosts more than 600 resources, publications, databases and e-learning opportunities on chemicals and waste for dissemination amongst governments, industry representatives, academia and civil society. The platform also provides access to communities of practice for online discussions on related topics. The website is now fully functional in Drupal 9 and is available in the 6 UN languages. Some additional functionalities under development include i.e., indexing partner websites within library, new data visualization tools and update of existing visualization tools as well as the continued fine tuning of chatbot access to web content⁹⁰. Social media accounts (Facebook, YouTube and Twitter⁹¹), linked to the Platform, were also created to promote SAICM. Since the creation of these accounts, there has been a steady increase in the number of followers, and by June 2021 there were more than 1,000 followers. To promote SAICM beyond 2020, the SAICM Secretariat successfully organized a side event during the Meetings of the Conferences of the Parties to the Basel, Rotterdam and Stockholm Convention in June 2022. The ICCM5 conference held in September 2023 hosted 1,200 participants.

Rating for Communication and Public Awareness: Highly Satisfactory

Rating for Factors Affecting Performance and Cross-Cutting Issues: Satisfactory

⁸⁸ Interview data

⁸⁹ <https://saicmknowledge.org/>

⁹⁰ Data from the Secretariat

⁹¹ Now X

6 CONCLUSIONS AND RECOMMENDATIONS

6.1 Conclusions

101. SAICM is an overarching policy process that was established in 2006, Dubai, UAE. The objective of SAICM is to support countries in their efforts to improve the management of chemicals and waste and improve air quality in order to significantly reduce negative impacts on the environment and human health. The project under evaluation is the implementation of SAICM for the period 2018 – 2024.
102. The project was developed following ICCM4 Resolution IV/4 in 2015 that requested the Secretariat to initiate an intersessional process to prepare recommendations regarding the Strategic Approach and the sound management of chemicals and waste beyond 2020. The project has been properly designed, drawing lessons learnt from the previous phase of SAICM (2006 to 2015) and it's the terminal evaluation. Many strengths and no major weaknesses have been identified. In particular, the project TOC was largely based on the one proposed in the terminal evaluation report for the period 2006 – 2015.
103. The expected outcome of the project was advisory, policy and coordination support services provided by the secretariat of the Strategic Approach to International Chemicals Management promote changes in policy and in decision making, in line with the 2030 Agenda for Sustainable Development.
104. The SAICM Secretariat played a key role in coordinating efforts to implement the Strategic Approach for the period 2006 to 2017. The decision to maintain its existing structure and staff offered several advantages in terms of continuity, operational efficiency, and resource optimization as well as institutional knowledge and established processes to achieve the project's objective. Despite a few challenges such as turnover of SAICM coordinators and understaffing, building on these advantages and consistently supported by the Bureau, which provided strategic direction and guidance, the Secretariat has demonstrated remarkable resilience in delivering on its mandate.
105. The project is highly relevant to the international sustainable development agenda. It is fully aligned with the UNEP's mandate to minimize the adverse effects of chemicals and pollution on human health and the environment. The project is also in line with the mandates of the BRS, Minamata Conventions and other MEAs, and those of ILO, WHO and FAO.
106. The project, which started in May 2018, was supposed to close by May 2021. The COVID19 pandemic severely affected implementation, and five extensions were granted to allow for the completion of activities and a smooth transition to GFC, and the project is planned to close in June 2025. Project management adapted to the situation and transitioned to online mode for working groups and some regional meetings, and silent mode approval of the programme of work and budget. These adjustments allowed the project to maintain progress despite the pandemic. In the end, the targets for the outputs and the outcome have been fully achieved, and GFC, the new framework, was adopted at ICCM5.
107. Despite delays caused by the pandemic, implementation has been quite cost-effective. Project management applied a number of cost-effective measures such as building on UNEP's infrastructure and expertise, countries' hosting meetings, and organizing back-to-back meetings with other events. The regular donors' contributions also contributed to efficiency.
108. The engagement of partnering agencies, institutions and NGOs (UNEP, UNIDO, UNITAR, ILO, WHO, IPEN, and ICCA) in supporting developing countries and countries with economies in transition for the sound management of chemicals and waste has been pivotal in advancing the Strategic Approach. On the other the hand, while many SAICM

National Focal Points were very much engaged as well, others showed limited involvement and poorly responded to surveys carried out by the Secretariat.

109. The likelihood of impact in the long term and the sustainability of the project benefits would require additional efforts and financial resources to support the developing countries and countries with economies in transition in further building their capacities for the sound management of chemicals and waste.
110. The human rights principles were considered in the project document. Given the nature of the project, with no interventions at country level, these considerations were not possible to assess. However, they were considered during negotiations to develop the new framework and are reflected and included in the GFC project document. Regarding the gender dimension, the project has satisfactorily promoted the participation and involvement of women through the SAICM process leading to the establishment of the new framework at ICCM5.
111. In the terms of reference, the Evaluation was asked to address the five **strategic questions** listed below, and which of interest to UNEP and to which the project is believed to be able to make a substantive contribution:
112. *Strategic Question 1: In what ways, and to what extent, have the nine participating organizations of the IOMC contributed to the prioritization and implementation of the SAICM Secretariat's activities?* The nine organizations of IOMC have played a vital role in advancing global efforts for sound chemicals management and waste. They provided expert insights and strategic guidance during consultations and negotiations for the new framework. Their expertise ensured that the new framework reflects international best practices and is aligned with global, regional and national priorities. They also undertook numerous initiatives to support developing countries and countries in transition, focusing on capacity building, policy development, and access to safer alternatives to hazardous chemicals such highly hazardous pesticides.
113. *Strategic Question 2: To what extent does the monitoring of the SAICM Secretariat's project results framework cover activities carried out towards the achievement of the planned project outcome and impact?* The monitoring of the project results framework done by the Secretariat adequately covered activities carried out towards achieving planned project outcomes. The monitoring included the achievements of targets and milestones for outputs and the outcome. However, its ability to assess long-term impact remains limited.
114. *Strategic Question 3: How is the SAICM Secretariat's work considered in the strategic landscape of chemicals and waste initiatives at country level?* Based on the survey carried out by the evaluation, SAICM is highly regarded at country level as it enabled capacity building and catalysed the actual sound management of chemicals and associated wastes in many countries. It fostered collaboration among national institutions and created national awareness. However, many highlighted the need for enhancing financial resource availability, not available locally, for the advancement of sound management of chemicals and long-term impact.
115. *Strategic Question 4: What changes were made to adapt to the effects of COVID-19 and how did those changes affect the SAICM Secretariat project's performance?* The changes made by the SAICM Secretariat to adapt to COVID-19 included virtual meetings and approval of programme of work and budget by the silent mode allowed the project to maintain momentum under challenging circumstances.
116. *Strategic Question 5: In view of the new Framework, which will supersede SAICM, what are the strategic lessons from the design and implementation of the project on enabling multistakeholder engagement and how could these be considered in the development of the Secretariat's new project and work plan?* A number of lessons learned include the inclusive stakeholder participation (governments, IOMC, IGOs, NGOs) during the consultations and negotiations that led to the new framework that is aligned with

global, regional and national priorities and taking into account the needs of all stakeholders. Another lesson is the cross-sectoral collaboration between health, environment, and agriculture for effective capacity building in beneficiary countries. Jointly with WHO and in collaboration with UNEP and OECD, FAO is effectively supporting countries on the implementation of the International Code of Conduct on Pesticide Management. Other lesson learned is the flexibility and adaptability in the project design and implementation in using the hybrid mode (online and face-to-face meetings) that enabled the project to maintain momentum and allowing to address emerging priorities and stakeholder needs during the pandemic. Securing sustainable funding mechanisms ensures the continuity of stakeholder engagement efforts is another lesson learned. Dependency on short-term project funding limited long-term engagement in many beneficiary countries, where financial resources were not available locally.

117. The table below (Table 21) provides a summary of the ratings and finding discussed in Section 0. Overall, the project demonstrates a rating of **Satisfactory**.

Table 21: Summary of project findings and ratings⁹²

Criterion	Summary assessment	Rating
Strategic Relevance		HS
1. Alignment to UNEP MTS, POW and Strategic Priorities	Project well aligned with UNEP MTS, POW and strategic priorities	HS
2. Alignment to Donor strategic priorities	Many donors were national governments. Project fully aligned with their strategic priorities and national environmental action plans	HS
3. Relevance to global, regional, sub-regional and national environmental priorities	Fully aligned with the international sustainable development agenda	HS
4. Complementarity with existing interventions/ Coherence	Complementary with three UNEP-led initiatives and SP funded projects	HS
Quality of Project Design	Comprehensive intervention logic and a clear and consistent approach with adequately planned activities to deliver outputs and outcomes.	HS
Nature of External Context	No unusually challenging operational factor identified at design. COVID19 affected implementation, but impossible to predict	F
Effectiveness		HS
1. Availability of outputs	Target for all deliverables reached	S
2. Achievement of project outcomes	Targets for the project outcome successfully achieved	HS
3. Likelihood of impact	Countries are increasingly taking actions for the sound management of chemicals; efforts would not be sustainable without external funding for many	ML
Financial Management		S
1. Adherence to UNEP's financial policies and procedures	UNEP internal standard financial controls and procedures applied	S
2. Completeness of project financial information	All financial information available	S

⁹² Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated, also on a six-point scale, from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU).

Criterion	Summary assessment	Rating
3. Communication between finance and project management staff	Weekly communication with the FMO	S
Efficiency	Despite delays due to COVID19, all outputs successfully delivered within budget. Cost-effective measures taken	S
Monitoring and Reporting		S
1. Monitoring design and budgeting	Adequate M&E plan proposed but terminal evaluation and midterm review not budgeted	MS
2. Monitoring of project implementation	Monitoring system operational, M&E plan used as basis to monitor progress	S
3. Project reporting	Timely reporting to the Bureau, Conference and UNEP	S
Sustainability		MU
1. Socio-political sustainability	Countries ratified Chemicals Conventions and implementing them. Nomination of GFC Focal Points	L
2. Financial sustainability	2020 Goals not achieved due to limited financial resources. Countries requesting more financial resources for capacity building	MU
3. Institutional sustainability	More efforts required to build capacity in developing countries	ML
Factors Affecting Performance		S
1. Preparation and readiness	Secretariat structure and staffing maintained offering advantages in terms of continuity, operational efficiency, and resource optimization as well as institutional knowledge and established processes	S
2. Quality of project management and supervision	Bureau consistently providing strategic direction and guidance. Despite staff constraints, Secretariat successfully delivered on its mandate	HS
3. Stakeholders' participation and cooperation	Most stakeholders fully engaged and contributed significant. Limited involvement of many National Focal Points and insufficient information sharing	MS
4. Responsiveness to human rights and gender equality	Satisfactory involvement of women	S
5. Environmental and social safeguards	Satisfactory efforts done by partners to promote environmental and social safeguards	S
6. Country ownership and driven-ness	Limited involvement of many National Focal Points	MU
7. Communication and public awareness	Knowledge Management Platform created. Numerous communication and outreach products developed	HS
Overall Project Performance Rating		S

6.2 Lessons learned

Lesson Learned #1:	The inclusive stakeholder participation during the consultations and negotiations leads to successful outcome aligned with the priorities of all stakeholders.
Context/comment:	The negotiations to develop the new framework took longer than anticipated, mainly due to the COVID-19 pandemic. This was also due the inclusion of new emerging policy issues and the need to take into account the interests of all stakeholders. However, in the end the new framework that was developed involving all stakeholders (governments, IOMC, IGOs, NGOs, private sector, and industry) is aligned with global, regional and national priorities regarding the sound management of chemicals of waste.

Lesson Learned #2:	The voluntary approach of SAICM has been widely applauded for fostering inclusivity and global collaboration. However, it may face significant challenges, such as inconsistent reporting by stakeholders and varying levels of commitment. The credibility of some of SAICM's activities, such as data needed to assess progress would require credible and reliable inputs from a significant number of stakeholders. Many SAICM National Focal Points (more than 60%) did not respond to surveys done by the Secretariat for progress reporting.
Context/comment:	For the progress report 2022 – 2023, some stakeholders including many National Focal Points did not respond to the survey carried out by the Secretariat. Only 28 Focal Points (20% response rate) responded to the survey. The response rate to previous report periods (pre-project period) were similar.

Lesson Learned #3:	On the condition of reliable internet connectivity, access to appropriate platforms for online participants, and availability of adequate logistics (computers, microphones, cameras), a hybrid approach, combining face-to-face and online modalities, is an effective option for meetings, workshops, and stakeholder engagements allowing for flexibility and maintaining progress. The benefits are flexibility travel and accommodation reduction costs, time gain for participants, and minimization of carbon footprint among others.
Context/comment:	Due to the COVID19 pandemic, online meetings (e.g., VWGs) were carried out. In general, these meetings were successful. However, challenges such as internet connectivity and logistics issues hindered the process.

Lesson Learned #4:	Securing sustainable funding mechanisms ensures the continuity of stakeholder engagement efforts.
Context/comment:	Dependency on short-term project funding limited long-term engagement in many beneficiary countries, where financial resources were not available locally.

Lesson Learned #5:	Cross-sectoral collaboration between health, environment, and agriculture, and sectors is an effective approach to build capacities of beneficiary countries.
Context/comment:	Jointly with WHO and in collaboration with UNEP and OECD, FAO is effectively supporting countries on the implementation of the International Code of Conduct on Pesticide Management. It is also focused on reducing the risks and impacts of highly hazardous pesticides (HHPs) by raising awareness, strengthening governance, supporting structural and technical capacities, and promoting viable alternatives to HHPs.

6.3 Recommendations

Recommendation #1:	To ensure the independence of GFC and the Secretariat, the rules of procedure and governance should be explicitly applied to foster the perception of impartiality and to promote good governance.
Challenge/problem to be addressed by the recommendation:	Independence of the Secretariat and Good Governance
Priority Level:	Critical
Type of Recommendation	UNEP-wide
Responsibility:	UNEP, ICCM, and the GEC Bureau
Proposed implementation time-frame:	As soon as feasible

118. Cross-reference(s) to rationale and supporting discussions:

- Section 5.4.1, paragraph 52

Recommendation #2:	Following ICCM5 Resolution V/7, the GFC Secretariat will develop Draft guidelines for national focal points submitted for consideration of the Open-ended Working Group scheduled for 2025. It is recommended to include reporting and communication requirements in these guidelines.
Challenge/problem to be addressed by the recommendation:	Better reporting and communication from GFC National Focal Points
Priority Level:	Important
Type of Recommendation	Project level
Responsibility:	GFC Secretariat
Proposed implementation time-frame:	Before the Open-ended Working Group scheduled for 2025

119. Cross-reference(s) to rationale and supporting discussions:

- Section 2, paragraph 20; Section 5.4.1, paragraph 52; and Section 5.4.3, paragraph 60

Recommendation #3:	A labour/health position has been created within the GFC Secretariat reflecting the growing need to address labour and health issues in the strategic approach for sound management of chemicals and waste. Where relevant, it is recommended that this officer should collaborate closely with ILO and WHO and encourage applications for the GFC TF from these sectors.
Challenge/problem to be addressed by the recommendation:	Provide opportunities for more engagement and involvement from stakeholders of the labour and health sectors
Priority Level:	Important
Type of Recommendation	Project level
Responsibility:	GFC Secretariat
Proposed implementation time-frame:	Before the first round of applications for the GFC TF

120. Cross-reference(s) to rationale and supporting discussions:

- Section 5.4.1, paragraph 52

Recommendation #4:	Financial resources constraints were recognized as limited factors to achieving the 2020 goals, and capacity building in developing countries. It is recommended to implement the resource mobilization strategy proposed in the GFC project document.
Challenge/problem to be addressed by the recommendation:	Limited financial resources to achieve objectives
Priority Level:	Important
Type of Recommendation	Project level
Responsibility:	Bureau and GFC Secretariat
Proposed implementation time-frame:	By the end of 2025

121. Cross-reference(s) to rationale and supporting discussions:

- Section 5.4.3, paragraph 61; Section 5.8.2, paragraph 90

Recommendation #5:	A Knowledge Management Platform was established by the project, and it has ensured up-to-date information about SAICM and the QSP. It is recommended to build on this Platform for training, communication, advocacy and outreach of the GFC.
Challenge/problem to be addressed by the recommendation:	No decision taken about the future of the Knowledge Management Platform
Priority Level:	Important
Type of Recommendation	Project level
Responsibility:	Bureau and GFC Secretariat
Proposed implementation time-frame:	By end of 2025

122. Cross-reference(s) to rationale and supporting discussions:

- Section 5.4.1, paragraph 54

Recommendation #6:	While the gender dimension was satisfactorily addressed, human rights were not assessed given the nature of the project with no interventions at country level. It is recommended that the Secretariat ensures that human rights and gender equity are fully considered during the implementation of projects funded by the GFC TF
Challenge/problem to be addressed by the recommendation:	Responsiveness to Human Rights and Gender Equality
Priority Level:	Important
Type of Recommendation	Project level
Responsibility:	Bureau and GFC Secretariat
Proposed implementation time-frame:	By end of 2025

123. Cross-reference(s) to rationale and supporting discussions

- Section 5.9.4, paragraphs 95 and 96

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

Response to stakeholder comments received but not (fully) accepted by the evaluator(s), where appropriate

Page Ref./ Para. n	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
Pages 13 and 58, Lesson learned 1	- I would disagree with this finding. - It is a fact that the extra time was at least partly a result of the COVID pandemic and this is not mentioned. IP4 scheduled for March 2020 was prepared and ready to go but was cancelled due to the pandemic, likewise ICCM5 was set to go in Sept/Oct 2020 and was postponed as a result of the pandemic. - The extra time created space for new policy issues to be considered	The effects of COVID-19 delaying implementation was added to the text for Lesson learned 1	Delay in negotiations due to the COVID-19 pandemic has been added by the Evaluator to the context description of Lesson learned #1.
Lesson 2, pages 13 and 58	- Inconsistent reporting is a fact. However, reporting under many Conventions is much lower than 60%. Deeper analysis of this could help. - In moving forward, the GFC could consider how it can support any overall review of progress as this is ultimately the purpose behind reporting. GFC has more flexibility as a voluntary programme to review various aspects of progress than Conventions have and includes reporting from stakeholders. Having the GFC add more value in progress review could be explored in moving forward. - I would suggest expanding this lesson into a deeper opportunity for the GFC.	Under the Stockholm Convention, for the different reporting periods, the reporting by countries has been on average between 40 to 50 % based on data from the Stockholm Convention Website. However, under SAICM, reporting as low as 20% was seen. A recommendation for the GFC Focal Points to better report has been included based on guidelines for GFC Focal Points proposed in the GFC Project Document No correction was made to Lesson 2	No amendment made by the Evaluator.
Secretariat staffing table 18, page 48	- Worth noting which staff were paid for by the GEF project, as this was significant. Currently only noted as XB. - Note of facts to correct: - o Jacob Duer was the official coordinator of the secretariat from 2017, 2018, to Sept 2019. This should be reflected in this table. The project doc or OEWG budget table should note how much of his time.	- o According to the Project Information Table of the SAICM Project Document, Jacob Duer was the supervisor of the UNEP Project Manager of the SAICM Project - o The information on % was given to the evaluator by the SAICM Secretariat. Furthermore, the evaluator reported only data available in reports and obtained from interviews.	No amendment made by the Evaluator.

Page Ref./ Para. n	Stakeholder comment	Evaluator(s) Response	UNEP Evaluation Office Response
	○ I believe that all regional office staff should be marked as 10%, not just Jordi Pon.	No amendment was made to Table 18	
Annex III, page 69. Page 71 ALSO.	Mistake to correct: My role was Programme Management Officer. I was not the SAICM coordinator.	According to the Project Information Table of the SAICM Project Document, your position was Project Manager, which is equivalent to SAICM Coordinator. Correction was made to Annex III and page 71 – Coordinator changed to Programme Management Officer	Annex III has been updated by the Evaluator.

ANNEX II. EVALUATION FRAMEWORK/MATRIX

Evaluation criteria	Indicators	Means of verification
Strategic Relevance		
Were the objectives and implementation strategies consistent with (i) <i>Regional, Sub-regional and National Environmental Priorities</i> (ii) <i>UN Environment / Donor Strategic Priorities</i> (iii) <i>Complementarity with Existing Interventions</i>	Level of alignment with regional, sub-regional and national environmental priorities, UN Environment and Donor Strategic priorities at the time of design and implementation	ProDoc; interview with members of bureau, project manager, regional and national focal points, donors, Donors and national focal points. Comparison of policy / planning documents with SAICM objectives
Effectiveness		
(i) <i>Delivery of outputs</i> - How successful was the SAICM project in producing the programmed outputs and achieving milestones as per the design document / approved workplan? - Were key stakeholders appropriately involved in producing the programmed outputs?	Output level indicators of Logical Framework Stated contribution of stakeholders in achievement of outputs	For both questions: - Review of relevant documents such as reports of bureau meetings, OEWG, VWG, and ICCM5 - Interview with BRS, project team, bureau members, donors, regional and national focal points, partners and NGOs, QSP coordinator
(ii) <i>Achievement of direct outcome</i> To what extent has the project outcome "Advisory, policy and coordination support services provided by the secretariat of the Strategic Approach to International Chemicals Management promote changes in policy and in decision making, in line with the 2030 Agenda for Sustainable Development." been achieved?	Indicators in Logical Framework at Outcome level	- Review of relevant documents such as reports of bureau meetings, OEWG, VWG, and ICCM5 - Interview with BRS, project team, bureau members, regional focal points, partners and NGOs

Evaluation criteria	Indicators	Means of verification
(iii) Likelihood of impact Are the SAICM stakeholders increasingly implementing the sound management of chemicals throughout their life cycle at all levels?	Number of stakeholders adopting and implementing SAICM developed policies/guidelines	Survey questionnaire, interviews with bureau members, PM, project team, regional and national focal points, BRS, and other relevant partners and stakeholders
Efficiency		
- Has the SAICM project been able to deliver the results within the planned budgets in a timely manner? - Did make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase the efficiency of the SAICM project? - If occurred, what are the main reasons for delay/changes in implementation? Have these affected project execution, costs and effectiveness?	- Level of compliance with expected milestones mentioned in Logical framework and with respect to financial planning and annual plans - Level of inclusion of preexisting initiatives and institutions, etc. 7 - List of reasons, validated by the bureau and project team. Level of compliance with Logical framework, time framework, planned budgets and annual plans.	For all questions: - Review of relevant reports and documents such reports of bureau meetings, OEWG, VWG, and ICCM5, financial reports - Interview with bureau members; PM, project team, QSP coordinator, BRS and Minamata Conventions secretariats
Monitoring Reporting and Evaluation		
(i) <i>Monitoring Design and Budgeting</i> (ii) <i>Monitoring of the SAICM project and of Project Implementation</i> Was the monitoring system operational and did it facilitate the timely tracking of results and progress towards projects objectives throughout the implementation	(i) This section is covered under Section E of Annex C - Completed assessment of the Project Design Quality (ii) Level of implementation of M&E system (execution of activities);	For all questions: - Project document - Interview with bureau members, PM, project team, financial officer, BRS and Minamata Conventions; regional and

Evaluation criteria	Indicators	Means of verification
period? Gender and other vulnerable group considered? Was the information used to adapt and improve execution, achievement of outcomes and ensure sustainability? (iii) <i>Project Reporting</i> - Have the bureau, SAICM secretariat, PM and other relevant reporting commitments been fulfilled? (iv) <i>Evaluation arrangements</i> - What are the arrangements (including planning, financing and responsible institution) in place for the evaluation of the SAICM project?	Changes in implementation approach to adapt to changing situations; (iii) Compliance to reporting requirements as mentioned in ToRs and / or project documents (iv) Compliance to evaluation plans	national focal points, partners and other relevant stakeholders - Copies of relevant all reports; - Information gathering through survey questionnaires
Sustainability		
(i) <i>Socio-political sustainability</i> - Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? - Is the level of ownership by the key main SAICM stakeholders sufficient enough to allow for the project results to be sustained? - Are there sufficient SAICM stakeholders' and other key stakeholders' awareness, interests, commitment and incentives to integrate or mainstream project results into global, regional, national legislation, policies or programmes? (ii) <i>Financial sustainability</i> - To what extent are the continuation of project results and eventual impact dependent on (continued) financial resources? Can these financial resources be mobilized?	- List of factors - Active participation of key stakeholders in project implementation. - Estimation of financial requirements. Availability of budgets - Level of commitment, proved by formal agreements, included recommendations, declarations, of key stakeholders in governance structures	For all questions - Relevant project documentation and reports - Interview with Bureau members, regional and national focal points, PM, project team, partners, NGOs, QSP coordinator - Information gathered through survey questionnaires

Evaluation criteria	Indicators	Means of verification
(iii) <i>Institutional sustainability</i> How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. to continue delivering the benefits associated with the outcomes beyond the life of the SAICM project?	that sustain project results	
Factors and Processes Affecting the Performance of SAICM		
(i) <i>Preparation and readiness</i> • Were the partnership arrangements properly established and the roles and responsibilities of key partners negotiated prior to development of the SAICM project? Were the resources (mobilization of funds, adequate staffing, and facilities) already assured? (ii) <i>Quality of Management and Supervision</i> • To what extent have the project implementation mechanisms outlined in the project document been followed and were effective in delivering project milestones, outputs and outcomes? Were pertinent adaptations made to the approaches originally proposed? • Was technical backstopping and supervision provided by the bureau, SAICM secretariat, PM, project team and partners adequate and to what extent did it contributed to achieve success? (iii) <i>Stakeholder participation and Cooperation</i> • How was the overall collaboration among key partners / stakeholders of the SAICM	(i) Commitment of key stakeholders. Levels of funds available (ii) Level of implementation of mechanisms outlined in project proposal. Adaptive management applied. Level of satisfaction SAICM stakeholder and beneficiaries (iii) Perceived level of collaboration and coordination among key partners / stakeholders	For all questions: (i) Letters of commitments and agreements of partners; (ii) Relevant project documentation such the ProDoc; monitoring, meeting, progress, annual, and evaluation reports (iii) Interviews with bureau members, partners (BRS, Minamata, IOMC, etc.), PM, project team, regional and national focal points, and other relevant stakeholders/officers (iv) Information gathered through survey questionnaires

Evaluation criteria	Indicators	Means of verification
project including bureau members, the project team, BRS and Minamata secretariats, IOMC, regional and national focal points SAICM, NGOs, and other partners? Different functional units of UNEP involved in the project? To what extent did this collaboration contribute to the effective delivery of planned outputs in a timely manner? (iv) <i>Responsiveness to Human rights and Gender Equity</i> - To what extent the design, implementation and monitoring of the SAICM project have taken into consideration: (i) possible gender inequalities in access to, and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation? (v) <i>Country Ownership and Driven-ness</i> - To what extent have the national partners assumed responsibility and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project? (vi) <i>Communication and Public Awareness</i> - Has a communication and public awareness strategy been developed to share results and lessons produced by SAICM?	Delivery of outputs and activities as planned. Level of participation of project partners in project design and actual inclusion in project implementation arrangements (iv) Human rights and gender dimension specifically considered through all stages: design, implementation and monitoring of the SP (v) Endorsement of QSP projects by governmental agencies and active involvement. Provision of counterpart funding (vi) Communication Tools and plans developed	

ANNEX III. PEOPLE CONSULTED DURING THE EVALUATION

People consulted during the Evaluation

Organization	Name	Role in the project	Gender
SAICM Secretariat	Nalini Sharma	Coordinator	Female
GFC SAICM	Kay Williams	GFC Coordinator SAICM Focal Point	Female
SAICM Secretariat	Brenda Koekkoek	Programme Management Officer	Female
SAICM Secretariat	Pierre Quiblier	Acting Coordinator	Male
SAICM Secretariat	Jose De Mesa Alcalde	Project team	Male
SAICM Secretariat	Juan Caicedo	Project team	Male
SAICM Secretariat	Aitziber Echeverria	QSP Officer	Female
UNEP	Jacqueline Alvarez	Stakeholder	Female
UNEP	Gricha Zurita	FMO	Male
Germany	Jutta Emig	Chair of Bureau	Female
Uruguay	Valentina Sierra Domínguez	Bureau member	Female
UNITAR/IOMC	Jorge Ocana	Bureau member	Male
ICCA	Maria Ruiz-Cuevas	Bureau member	Female
BRS Secretariat	María Cristina Cárdenas-Fischer	Observer	Female
Minamata Secretariat	Marianne Bailey	Observer	Female
IOMC Secretariat	Jonathan Krueger	Stakeholder	Male
ILO/IOMC	Halshka Graczyk	Stakeholder	Female
Special Programme	Katherine Theotocatos	Observer	Female
IPEN	Sara Brosché	Bureau member	Female
PAN-Ethiopia	Tadese Amara	Stakeholder	Male
Islamic Republic of Iran	Abbas Torabi	Regional Focal Point	Male

ANNEX IV. KEY DOCUMENTS CONSULTED

- Project document
- Monitoring progress reports
- Approvals of extensions and revised logframe and milestones
- Reports of meetings (ICCM, IP, OEWG, VWG, Regional) and all relevant associated documents. Available at <https://www.chemicalsframework.org/saicm-beyond-2020>
- SAICM Progress reports and contributions of stakeholders available at: <https://www.saicm.org/Implementation/Reporting/tabid/5462/language/en-US/Default.aspx>
- SAICM terminal evaluation report
- QSP documents including the Report of the Impact Evaluation of QSP available at: <https://www.saicm.org/Implementation/QuickStartProgramme/tabid/5523/language/en-US/Default.aspx>

ANNEX V. EVALUATION ITINERARY

Online survey: Beginning September 2024 to first week of October 2024

Online interviews: Beginning September 2024 to end October 2024

Mission to Geneva: 7 – 11 October 2024

Persons interviewed

1. Mr. Jose De Mesa Alcalde, SAICM Secretariat
2. Mr. Pierre Quiblier, SAICM Secretariat
3. Ms. Brenda Koekkoek, formerly SAICM Secretariat
4. Ms. Kay Williams, GFC Coordinator
5. Mr. Jorge Ocana, UNITAR
6. Ms. María Cristina Cárdenas-Fischer, BRS Secretariat
7. Ms. Marianne Bailey, Secretariat Minamata Convention
8. Mr. Jonathan Krueger, IOMC Secretariat
9. Ms. Katherine Theotocatos, Head of the Special Programme
10. Ms. Halshka Graczyk, ILO (online)
11. Mr. Gricha Zurita, FMO, UNEP

ANNEX VI. BRIEF CV OF THE EVALUATOR

Name	Nee Sun CHOONG KWET YIVE
Profession	Professor of Chemistry at the University of Mauritius
Nationality	Mauritius
Country experience	- Europe: Germany, France, Belgium, Switzerland, UK, Sweden, Spain, Greece, Italy, Austria, Netherlands - Africa: Kenya, Tanzania, South Africa, Senegal, Cameroon, Cote D'Ivoire, Guinea, Ethiopia, Morocco, Egypt, Cap Verde, Tunisia, Mozambique, Ghana, Mali, Burkina Faso, Togo, Zimbabwe, Zambia, Madagascar, Guinea Bissau, Burkina Faso, Nigeria - Americas: USA, Canada - Asia: Thailand, Malaysia, Singapore, Laos, Sri Lanka, Viet Nam, Cambodia, China, India, Malaysia, Indonesia, Mongolia, Nepal, The Philippines, Jordan - Oceania: Australia
Education	

Short biography

Mr Choong Kwet is an independent consultant having undertaken over 40 terminal and midterm evaluations of UNIDO- and UNEP-implemented projects in the fields of chemical management across more than 35 countries.

Key specialties and capabilities cover: Project development, project evaluation, and risk assessment in the fields of chemicals management including POPs and other hazardous chemicals.

Selected assignments and experiences

- July 2019 – January 2020: Mid-Term Evaluation of UNEP's "Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management"
- August 2020 – December 2020: Mid-Term Evaluation of the GEF/UNEP project "Integrated Health and Environment Observatories and legal and institutional strengthening for the Sound Management of chemicals in Africa (African ChemObs)" GEF ID 9080
- October 2020 – March 2021: Independent mid-term evaluation of the GEF/UNIDO project "Implementation of PCB Management Programs for Electric Cooperatives and Safe e-wastes Management" - GEF ID: 9078
- January – April 2021: Terminal evaluation of the GEF/UNEP project "Pacific POPs Release Reduction through Improved Management of Solid and Hazardous Wastes" – GEF ID 4066
- April – July 2021: Mid-term review of the GEF/UNIDO project "Demonstration of Mercury Reduction and Minimization in the Production of Vinyl Chloride Monomer in China" – GEF ID: 6921
- July – September 2021: Terminal Evaluation of the GEF-UNEP Project "Defining and demonstrating best practices for exchange of information on chemicals in textile products" – GEF ID: 5662
- May – August 2022: Independent Terminal Evaluation of the GEF/UNIDO project "Demonstration of BAT and BEP in open burning activities in response to the Stockholm Convention on POPs" – GEF ID: 5082
- November 2022 – June 2023: PCB Cluster Evaluation of 8 GEF/UNIDO PCB projects.

- April – July 2023: Independent Terminal Evaluation of the GEF/UNIDO project “Increased energy access for productive uses through the development of small hydropower in rural areas” – GEF Project ID: 5317
- September – December 2023: Independent Terminal Evaluation of the GEF / UNIDO project “Introduction of an environmentally sound management and disposal system for PCB-contaminated equipment” – GEF ID: 4446
- January – April 2024: Independent Terminal Evaluation of the GEF/UNIDO project “Environmentally sound management of PCB wastes and PCB-contaminated Equipment in Sri Lanka” – GEF ID: 5314

ANNEX VII. EVALUATION TORS (WITHOUT ANNEXES)

TERMS OF REFERENCE

Terminal Evaluation of the UNEP project

“Secretariat Services to the Strategic Approach to International Chemicals Management”

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

UNEP PIMS ID:	02005		
Implementing Partners	International POPs Elimination Network (IPEN), International Council of Chemical Associations (ICCA), Zoi Environment Network		
Relevant SDG(s) and indicator(s):	SDG 3.9, SDG 6.3, SDG 12.4		
Sub-programme:	Chemicals, waste and air quality (5)	Expected Accomplishment(s):	EA(a): Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM).
UNEP approval date:	11 May 2018	Programme of Work Output(s):	
Expected start date:	1 January 2018	Actual start date:	11 May 2018
Planned operational completion date:	31 December 2021	Actual operational completion date:	31 December 2023
Planned total project budget at approval:	USD6,112,721 (with in-kind USD7,422,315)	Actual total expenditures reported as of [date]:	TBC
Planned Environment Fund allocation:		Actual Environment Fund expenditures reported as of [date]:	TBC
Planned Extra-Budgetary Financing:	USD6,112,721	Secured Extra-Budgetary Financing:	TBC
		Actual Extra-Budgetary Financing expenditures reported as of [date]:	TBC
First disbursement:	N/A	Planned date of financial closure:	31 December 2023

UNEP PIMS ID:	02005		
No. of formal project revisions:	2	Date of last approved project revision:	19 December 2022
No. of Steering Committee meetings:	25 SAICM/GFC Bureau meetings	Date of last/next Steering Committee meeting:	Last: Next:
Mid-term Review/ Evaluation⁹³ (planned date):	March 2019	Mid-term Review/ Evaluation (actual date):	
Terminal Evaluation (planned date):	December 2021	Terminal Evaluation (actual date):	October 2023
Coverage - Country(ies):	Global	Coverage - Region(s):	Global
Dates of previous project phases:	2006-2018	Status of future project phases:	New ProDoc to be developed based on the new Global Framework on Chemicals (adopted September 2023)

2. Project Rationale

The international chemical industry has grown dramatically since the 1970s. Studies projecting trends to 2050, forecast that global chemical sales will grow about 3% every year to 2050. Chemicals, if how managed soundly throughout their life cycle, can have far-reaching adverse effects on the environment and human health and lead to substantial costs for national economies by impeding economic growth and disrupting social development. Governments have targeted chemicals and wastes in several Sustainable Development Goals (SDGs), such as health, water and consumption and production patterns to reach the overall goals that “by 2020, chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment”. This “2020 goal” was adopted by the World Summit on Sustainable Development in 2002 as part of the Johannesburg Plan of Implementation. To achieve the overall 2020 objective, the Strategic Approach to International Chemicals Management (SAICM) was adopted in 2006 to address issues of:

- Many countries lack capacities and resources to manage chemicals soundly at the national, subregional, regional and global levels.
- The existing international policy framework for chemicals is not completely adequate and needs to be further strengthened.
- There is a lack of awareness of the risks of many chemicals on the part of regulators, works and the public.
- There is inadequate planning and investment to address chemical safety issues.

The SAICM provides a voluntary policy framework to address these issues to protect human health and the environment and to achieve the 2020 Goal.

United Nations Environment Programme (UNEP) has hosted the SAICM Secretariat since SAICM was adopted in 2006 and plays an important role within the SAICM community consisting of Governments, regional economic integration organizations, intergovernmental organizations, non-governmental organizations, and individuals involved in the management of chemicals from all relevant sectors. The SAICM platform, which the SAICM Secretariat is responsible for, brings convening power and is critical in building and enhancing political will of national governments. Furthermore, it facilitates access to knowledge and science, which adaptive management regimes depend on.⁹⁴

⁹³ UNEP policies require projects with planned implementation periods of 4 or more years to have a mid-point assessment of performance. For projects under 4 years, this should be marked as N/A.

⁹⁴ ProDoc Approved 11/05/2018, Problem and Situation Analysis, pp. 7-16.

The fifth session of the International Conference on Chemicals Management (ICCM5) held in Bonn, Germany, in September 2023 concluded with an agreement on a new *Global Framework on Chemicals*. The framework provides 28 targets that aim to improve the sound management of chemicals and waste. Governments have committed to creating, by 2030, the regulatory environment to reduce chemical pollution and implement policies to promote safer alternatives. Industry has committed to managing chemicals in a way that reduces chemical pollution and adverse impacts by 2030. The framework calls for, by 2035, a phase out of highly hazardous pesticides in agriculture where the risks have not been managed and safer alternatives are available.

Specifically, the ICCM5 Conference adopted the following:

- The Global Framework for Chemicals – For a planet free of harm from chemicals and waste
- The Bonn Declaration for a planet free of harm from chemicals and waste
- The Global Framework for Chemicals Fund, and
- A set of Conference resolutions focused on the implementation of the framework.

The new framework supersedes SAICM, and the scope of the framework covers the life cycle of chemicals, including in products and waste.

The framework promotes initiatives to enhance the sound management of chemicals and waste, takes due account of other chemicals and waste instruments that have been developed to date, and is flexible enough to take account of new instruments.

- The framework supersedes SAICM, and the scope of **the framework covers the life cycle of chemicals, including in products and waste.**
- The framework promotes initiatives to enhance the sound management of chemicals and waste, takes due account of other chemicals and waste instruments that have been developed to date, and is **flexible enough to take account of new instruments.**
- The framework continues to promote **multi-sectoral and multi-stakeholder engagement**, and has been negotiated across governments, intergovernmental organizations, the private sector, NGOs, as well as other stakeholder including academia, and youth.
- It introduces the **possibility to establish implementation programmes** which should support greater uptake and involvement from **key industry sectors.**

The framework includes 28 targets to be reached by 2030 or 2035, organized around five strategic objectives:

- Legal frameworks, institutional mechanisms and capacities are in place to support and achieve the safe and sustainable management of chemicals throughout their life cycle.
- Comprehensive and sufficient knowledge, data and information are generated, available and accessible to all to enable informed decisions and actions.
- Issues of concern are identified, prioritized and addressed.
- Safer alternatives and innovative and sustainable solutions in product value chains are in place so that benefits to human health and the environment are maximized and risks are prevented or, where prevention is not feasible, minimized.
- Enhanced implementation occurs through increased and effective resource mobilization, partnerships, cooperation, capacity-building, and integration into all relevant decision-making processes.⁹⁵

⁹⁵ICCM5, Event Information, <https://staging.saicm.org/events/iccm5>, accessed on 19 October 2023.

3. Project Results Framework

The objective of UNEP and the project was “sound management of chemicals and waste and improved air quality to a healthier environment and better health for all” – expected accomplishment (a) Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM). In the 2022 revision, outcome indicators 3 and 4 was added and Output 3 reformulated in the results framework (highlighted in grey) as indicated in Table 2. Output indicator baselines and targets were also adjusted in the revision.

Table 2. Results framework

Outcome	Indicators	Outputs
Advisory, policy and coordination support services provided by the secretariat of the Strategic Approach to International Chemicals Management promote changes in policy and in decision-making, in line with the 2030 Agenda for Sustainable Development.	Indicator 1: Policy decisions made within the ICCM process for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. <i>Baseline: 0</i> <i>Target: 2</i>	Output 1: Administration of the Quick Start Programme (QSP) to support initial enabling capacity building implementation activities and successful closure.
	Indicator 2: Secretariats of chemicals-related multilateral environmental agreements and UN agencies adopt decisions and promote policies for the sound management of chemicals and waste beyond 2020. <i>Baseline: 0</i> <i>Target: 4</i>	Output 2: Continued Secretariat Services to facilitate the SAICM process provided.
	Indicator 3: Policy decisions made within the ICCM process for the sound management of chemicals and waste Beyond 2020 in line with the 2030 Agenda for Sustainable Development. Means of Verification: Report from IP4 that provide policy direction: <i>Baseline: 0; Target: 1</i>	Output 3: Information and knowledge management tools developed and implemented to influence stakeholders on the sound management of chemicals and waste with links to the 2030 Agenda for Sustainable Development, including financial institutions to secure resources and joint partnerships and capacity building activities followed strategically with key SAICM Partners.
	Indicator 4: Secretariats of chemicals-related multilateral environmental agreements and UN agencies adopt decisions and promote policies for the sound management of chemicals and waste beyond 2020. <i>Baseline: 4; Target: 7</i> i.e. 3 additional decisions from UNEA5 Part 2 in 2022, Minamata COP4 Part 2 in 2022 and BRS COPs in 2022	

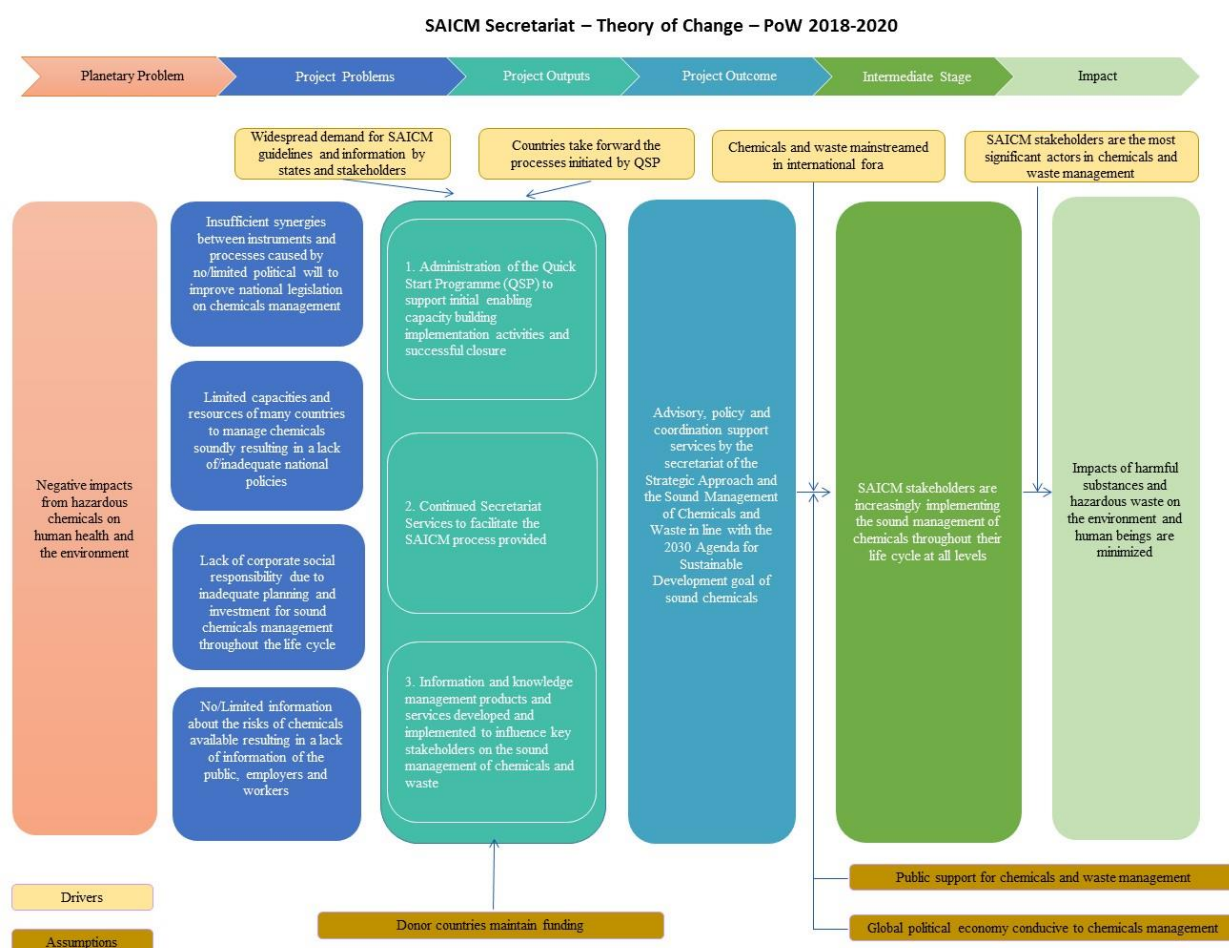
Source: ProDoc, revision 2022, Table 3: UNEP logical Framework updated.

The theory of change presented in figure 1 was constructed at project design and included in the approved project document. It supports the overall theory of change for UNEP's Chemicals & Waste sub-programme, and in particular responds to expected accomplishment (a) *Policies, legal, institutional and fiscal strategies and mechanisms for the sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM).*

The project would specifically respond to the following indicators:

- Increase in the number of countries that have used UNEP analysis or guidance, and where possible are applying a multi-sectoral approach, in developing or implementing legislation, policies or action plans that promote sound chemicals management and implementation of the relevant multilateral environmental agreements and SAICM.
- Increase in the number of private companies/industries that have developed or implemented a strategy or specific actions on sound chemicals management using UNEP analysis or guidance.
- Increase in the number of civil society organizations that have undertaken action on improving chemicals management using UNEP analysis or guidance.

Figure 1. Theory of change at project design



The causal pathway envisaged for the SAICM Secretariat was to build capacity through the Quick Start Programme (QSP) and facilitate the SAICM process and share information and knowledge to influence stakeholders on sound management of chemicals and waste and secure resources, including joint partnerships and capacity building with key SAICM Partners to promote changes in policy and in decision-making, in line with the 2030 Agenda for Sustainable Development driven by widespread demand for SAICM guidelines and information by states and stakeholders, and countries taking forward the process indicated by QSP.

For impact to be realised at the inter-mediate state, SAICM stakeholders would increasingly implement sound management of chemicals throughout their life cycle at all levels resulting in the impact of harmful substances and hazardous waste on the environment and human beings being minimized provided chemicals and waste would be mainstreamed in international fora and SAICM stakeholders would be the most significant actors in chemicals and waste management.

It was assumed that donor countries would maintain funding in order to deliver the planned output and intermediate state changes would be achieved provided there would be public support for chemicals and waste management, and the global political economy would be conducive to chemicals management.

4. Executing Arrangements

The Bureau of the Conference, which is elected by and from among the representatives of the governmental participants present at each session. It advises the President and the Secretariat on the conduct of business. The Secretariat communicates with national and regional focal points and IGO and NGO focal points.

UNEP has the overall administrative responsibility for the SAICM Secretariat, which is integrated within the Chemicals & Health Branch of the Industry and Economy Division.

The Secretariat provides liaison to convene SAICM stakeholders at all levels, promote information exchange and support institutional capacity building to implement SAICM projects. The Secretariat services the meetings of the Bureau, organizes regional meetings and reports to the Conference on implementation of the Strategic Approach by all participants, disseminates information and promotes the establishment and maintenance of a network of Strategic Approach stakeholders at the national, regional and international levels.

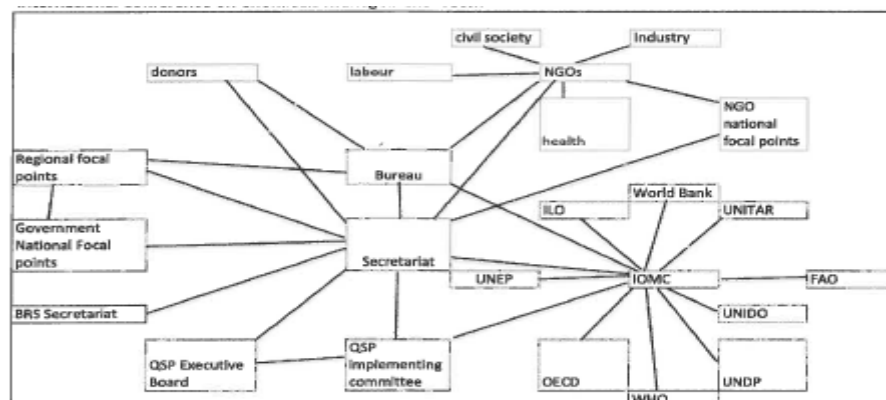
SAICM keeps a list of SAICM national focal points which is used by other initiatives in the field of chemicals to reach out at the national level.

The Bureau consists of representatives of governmental participants, four representatives of non-governmental participants and the chair of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) as well as five regional focal points. The Bureau advises the President and the Secretariat on the conduct of the business of the Conference.

IOMC plays a key role in the implementation of government-mandated priorities agreed for SAICM and comprises nine participating organizations: FAO, ILO, UNDP, UNEP, UNIDO, UNITAR, WHO, the World Bank, and OECD. IOMC organizations assist countries in undertaking projects and development project proposals under the SAICM Quick Start Programme. IOMC organizations has endorsed or formally acknowledged support for SAICM, and their activities support the SAICM objectives. These activities are formally coordinated by the IOMC.

Figure 2 shows the Secretariat which is governed by the Bureau and the relationship of the SAICM Secretariat with IOMC, QSP implementing committee and Executive Board, focal points and NGOs, including the Basel, Rotterdam and Stockholm (BRS) Convention Secretariat.

Figure 2. International Conference on Chemicals Management (ICCM)



Source: ProDoc, p. 30.

The SAICM Secretariat consists of a Principal Coordinator and Programme Officers. The Project Manager reports to the Principal Coordinator. The responsible Fund Manager for the Secretariat Services to SAICM is the Fund Manager of the Chemicals & Health Branch.⁹⁶

The Project Manager is the day-to-day implementer and coordinator who is responsible for the implementation and reporting of activities towards the delivery of results.

As envisaged in the Overarching Policy Strategy, initial capacity building activities for the implementation of SAICM objectives are supported by the Quick Start Programme (QSP). QSP is managed by one Programme Officer who reports directly to the Principal Coordinator of the Chemicals & Health Branch.

The Project Manager is supported by a Programme Officer and a new position as Knowledge Management Officer was to be created for the impact of the SAICM Clearinghouse.⁹⁷

Key decisions over the future SAICM instrument were taken at the fifth session of the International Conference on Chemicals Management (ICCM5) held in Bonn, Germany in September 2023, which concluded with the agreement on a Global Framework on Chemicals. Within the scope of the new Framework, the QSP will become a temporary funding mechanism for it before GEF funding of the new framework comes onstream.

5. Project Cost and Financing

The project budget at approval was USD7,422,315 with XB budget of USD6,112,721. The revised budget as of the 2022 project revision indicated funding for 2018-2022 with a total XB budget of USD11,017,867 based on funding from 15 Governments and ICCA and total in-kind budget adjusted upwards from USD1,309,594 to USD1,465,836. The budget included staff provided by UNEP in terms of Environment Fund and Regular Budget positions and in-kind contribution from that hosted or supported some of the events and meetings in supporting the Secretariat functions.

Table 3 shows actual contributions from 18 Governments/ countries and ICCA received over the period 2019-2023 totalling SD9,342,411 and table 4 provides an overview of cost by output.

Table 3. Project budget

<i>Contributions deposited</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>	<i>2022</i>	<i>2023</i>	<i>Total</i>
Argentina	\$ 5 000					\$ 5 000
Austria	\$ 22 222				\$ 21 413	\$ 43 635
Belgium	\$ 22 727	\$ 23 895	\$ 28 153	\$ 39 297		\$ 114 072
Canada (Health Canada)				\$ 116 188		\$ 116 188
Denmark	\$ 78 275	\$ 83 169	\$ 30 328	\$ 49 920		\$ 241 692
Finland	\$ 22 727	\$ 22 396	\$ 24 213	\$ 25 907		\$ 95 243
France	\$ 227 260	\$ 235 154	\$ 241 463	\$ 221 004	\$ 219 539	\$ 1 144 420
Germany	\$ 332 963	\$ 162 815	\$ 180 551	\$ 522 993	\$ 531 818	\$ 1 731 140
ICCA	\$ 332 464	\$ 165 563		\$ 310 052		\$ 808 079
Japan				\$ 170 000		\$ 170 000
Norway	\$ 56 207	\$ 146 564	\$ 35 531	\$ 85 206		\$ 323 508
Pakistan		\$ 1 994		\$ 1 927	\$ 1 626	\$ 5 547
Romania					\$ 20 000	\$ 20 000
Slovenia	\$ 3 282	\$ 3 525				\$ 6 807
Sweden	\$ 259 791	\$ 349 850	\$ 346 576	\$ 321 066		\$ 1 277 283
Switzerland	\$ 15 933	\$ 18 333	\$ 21 074	\$ 97 006		\$ 152 346
The Netherlands	\$ 43 764			\$ 41 451	\$ 106 234	\$ 191 449

⁹⁶ The fund manager services the SAICM, BRS and Special Programme Secretariats.

⁹⁷ Approved ProDoc (2018), p. 30.

<i>Contributions deposited</i>	<i>2019</i>	<i>2020</i>	<i>2021</i>	<i>2022</i>	<i>2023</i>	<i>Total</i>
United Kingdom	\$ 164 684		\$ 348 675		\$ 217 674	\$ 731 033
United States of America	\$ 475 000	\$ 475 000	\$ 525 000	\$ 690 000		\$ 2 165 000
Total	\$ 2 062 299	\$ 1 688 258	\$ 1 781 562	\$ 2 692 017	\$ 1 118 304	\$ 9 342 441

Table 4. Project budget by output

OUTCOME 1	Estimated cost at design	budget revision (2021)	Last budget revision (2022)	Actual expenditure (Oct. 2023)	Cost/ (Oct.
Output 1	83,800				
Output 2	5,754,000	812,624	1,961,536		
Output 3	665,624	1,181,595	1,624,799		
TOTAL	6,503,424	1,994,219	3,586,335		

Other Projects

Two other projects have contributed towards the SAICM Secretariat's work, however, both projects are not included in the scope of this evaluation, which focus on UNEP project PIMS 02005/ 511.1.

The EC project/ grant for "Implementation of the Strategic Approach to International Chemicals Management (SAICM)" provided support for the SAICM Secretariat to organise a series of activities (Bureau, intersessional and Open-ended Working Group meetings and webinars) in which participants continued their discussions on recommendations for a post-2020 platform for international cooperation on the sound management of chemicals and waste for consideration by the fifth meeting of SAICM's governing body, the International Conference on Chemicals Management, which was recently convened in Bonn, Germany. The goal was to develop, as far as possible, recommendations for consideration by ICCM5. This project was managed fully independently and had a total budget of EUR500,000.

The UNEP/GEF project "Global Best Practices on Emerging Chemical Policy Issues of Concern under the Strategic Approach to International Chemicals Management (SAICM), GEF ID 9771, FSP, GEF funding USD8,190,000, and co-financing USD21,312,903 with an amended end date of 30 June 2024.

6. Implementation Issues

The following implementation issues were identified from various sources as indicated.

Secretariat services: New alternative administrative arrangements for the secretariat services to the platform for Beyond 2020 to be decided upon were raised as key risk. The SAICM Secretariat was requested to enhance its capacity to effectively service the SAICM community. Some stakeholders may promote alternative secretariat arrangements for future platform.⁹⁸

Synergy with the country focus of the Special Programme: The Special Programme and the country projects had a log frame with SMART indicators and the monitoring and evaluation were budgeted. The log frame was used as basis for monitoring the progress of the Special Programme. The MTR found that the log frame of the Special Programme may not have been adequate to capture changes at national level and all the actions the recipient countries are taking as a result of the implementation of the projects. The addition of a new output and indicators was proposed at the 5th Executive Board meeting.⁹⁹

⁹⁸ ProDoc, 8. Risk Management, pp. 53-55. Overall risk rating: 10.

⁹⁹ Mid-Term Evaluation of the UNEP (515.2) "Operationalization of the Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management" (December 2019).

Human rights and gender equality: Human rights and gender equity were not likely to be adequately addressed without a high political priority to address these issues. In terms of programme design, human rights and gender-equity based organisations would need to be included in steering groups, decision-making and oversight bodies of such programmes. At the project level, human rights and gender equity assessment criteria would have to be part of the project screening and project selection process and specific indicators included in the M&E system of such projects.¹⁰⁰

Resources: The programme would be unlikely to deliver on its objectives, if resources were not forthcoming for budgeted activities. A shortfall in budgeted resources would have required adaptive management, scaling back project objectives and/ or redesigning the programme, to ensure objectives were realistic and feasible given a reduced budget.¹⁰¹ The project budget, table 3, shows contributions from 18 Governments and ICCA.

Donor funding: Donors not providing sufficient funds for the implementation of the Strategic Approach objectives and SAICM secretariat services was identified as a key risk. The Secretariat strived to develop and maintain ongoing relationships with donors and other stakeholders as part of the Overall Strategy to ensure that funds are made available to ongoing and future projects and initiatives.¹⁰²

Host institutions: Institutions responsible for hosting complex international programmes were expected to undertake comprehensive reviews of management, contracting, financial and human resources systems, identifying and addressing capacity constraints before embarking on such programmes.¹⁰³

Knowledge dissemination: To achieve SAICM's communication goals and objectives, the SAICM Secretariat planned to implement a four-point communication strategy to increase awareness, make available relevant information, leverage partners and multi-stakeholder engagement, and increase brand visibility.¹⁰⁴ Generating research, information and guidelines alone would not have led to effective uptake by stakeholders and would have required strategies for enabling the uptake of such knowledge. The Secretariat would have had to work with stakeholders to identify the types of knowledge and information that would be of use to them to achieve their objectives and the forms and methods of communication that would make such knowledge accessible to them. Budgeted implementation plans would have had to be developed for the knowledge uptake strategy.¹⁰⁵

The Covid pandemic and its aftermath: Since the initial postponement of the IP4 and ICCM5 meetings in 2020, the Bureau instituted ongoing intersessional preparatory work through Virtual Working Groups (VWGs) to maintain momentum and make further progress on the ICCM4 mandate. However, it was noted that participants in the VWG processes were predominantly from the Western Europe and Others (WEOG) region and there was limited participation from some developing country constituencies. To this end, the Bureau requested an evaluation of the VWG process to inform decisions on substance, methodology and process going forward which found that some of the challenges with the VWG process included: 1) Poor virtual technology connectivity due to weaknesses in communication infrastructure, particularly in developing country regions; 2) Time zone differences making it difficult to mobilize full participation across the regions; 3) Language barriers; 4) Time constraints for delegations to consider proposals and coordinate inputs across the respective constituents on working documents, particularly faced by small delegations; 5) Too many virtual meetings convened over a short period of time resulting in inadequate time to consult amongst the constituents and submit written inputs; 6)

¹⁰⁰ Mid-Term Evaluation.

¹⁰¹ Mid-Term Evaluation.

¹⁰² ProDoc, 8. Risk Management, pp. 53-55. Overall risk rating: 12.

¹⁰³ Mid-Term Evaluation.

¹⁰⁴ ProDoc, 5.1 Communications Strategy, p. 42.

¹⁰⁵ Evaluation of the UNEP project Strategic Approach to International Chemicals Management Secretariat SAICM, December 2018.

Lack of sectoral participation; and 7) Mandate of the VWGs considered too ambitious. Face-to-face meetings are important because collaborative working documents are built on relationships. While digital communication has advanced significantly over the 2020-2022 period, face-to-face meetings are still be critical components of building a strong culture, developing common understanding with other delegates, and connecting with people on a deeper level.¹⁰⁶

Mid-term evaluation: There were no mid-term evaluation in 2019 due to the disruption of the implementation process. The project was approved originally with a starting date of January 2018 and an expected ending on 31 December 2021 with the main outcome of the project being the International Conference on Chemicals Management (ICCM5), which was originally planned for October 2020 (third year of the project) and the fourth year (2021) to prepare for the next cycle with no activities.¹⁰⁷ The original plan was to have a new project starting January 2021 based on the outcomes of ICCM5. However, ICCM5 was postponed due to COVID pandemic with two unsuccessful attempts to re-organize the ICCM5 session (second semester of 2020 and 2021) before the ICCM5 Conference was held in October 2023. Both project revisions (2022 and 2023) were approved without requests made for a mid-term evaluation.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Objective of the Evaluation

In line with the UNEP Evaluation Policy¹⁰⁸ and the UNEP Project and Programme Management Manual¹⁰⁹, the Terminal Evaluation is undertaken at operational completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, IPEN, ICCA, Zoi Environment Network and national and regional SAICM focal points. Therefore, the Evaluation will identify lessons of operational relevance for future project formulation and implementation, especially where a second phase of the project is being considered. Recommendations relevant to the whole house may also be identified during the evaluation process.

8. Key Evaluation Principles

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

The “Why?” Question. As this is a Terminal Evaluation and a follow-on project is being developed based on the recently adopted 2023 framework on Strategic Management and sound chemicals and waste beyond 2020, particular attention will be given to learning from the experience. Therefore, the “why?” question should be at the front of the consultant’s minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultant needs to go beyond the assessment of “*what*” the project performance was and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

¹⁰⁶ Project lesson learned, PIMS reporting, retrieved 25/09/2023

¹⁰⁷ The SAICM project (PIMS 02005) was developed building on key findings and lessons learnt from the Independent Evaluation of the Strategic Approach, from 2006 – 2015, published in September 2019 and it aimed to address the need to continue support to the intersessional process of the ICCM to develop recommendations and to enable ICCM5 to take an informed decision on future arrangements of the Strategic Approach and the sound management of chemicals and waste beyond 2020. https://www.saicm.org/Portals/12/documents/meetings/IP2/IP_2_4_Independent_Evaluation.pdf

¹⁰⁸ UNEP Evaluation Policy (2022), <https://wedocs.unep.org/20.500.11822/41114>

¹⁰⁹ <https://wecollaborate.unep.org>

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

Communicating evaluation results. A key aim of the Evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the Main Evaluation Report will be shared with key stakeholders by the Evaluation Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant will plan with the Evaluation Manager which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some, or all, of the following; a webinar, conference calls with relevant stakeholders, the preparation of an Evaluation Brief or interactive presentation.

9. Key Strategic Questions

In addition to the evaluation criteria outlined in Section 10 below, the Evaluation will address the **strategic questions** listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution:

- a. In what ways, and to what extent, have the nine participating organizations of the IOMC contributed to the prioritization and implementation of the SAICM Secretariat's activities?
- b. To what extent does the monitoring of the SAICM Secretariat's project results framework cover activities carried out towards the achievement of the planned project outcome and impact?
- c. How is the SAICM Secretariat's work considered in the strategic landscape of chemicals and waste initiatives at country level?
- d. What changes were made to adapt to the effects of COVID-19 and how did those changes affect the SAICM Secretariat project's performance?
- e. In view of the new Framework, which will supersede SAICM, what are the strategic lessons from the design and implementation of the project on enabling multistakeholder engagement and how could these be considered in the development of the Secretariat's new project and work plan?

10. Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. A weightings table in excel format will be provided by the Evaluation Manager to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the availability of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The Evaluation Consultant can propose other evaluation criteria as deemed appropriate.

A. Strategic Relevance

The Evaluation will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. The Evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's

policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

Alignment to the UNEP Medium Term Strategy¹¹⁰ (MTS), Programme of Work (POW) and Strategic Priorities

The Evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building¹¹¹ (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

Alignment to Donor/Partner Strategic Priorities

Donor strategic priorities will vary across interventions. The Evaluation will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

Relevance to Global, Regional, Sub-regional and National Environmental Priorities

The Evaluation will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will be considered. Examples may include: UN Development Assistance Frameworks (UNDAF) or national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no one behind.

Complementarity with Relevant Existing Interventions/Coherence¹¹²

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization¹¹³, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The Evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- a. Stakeholders' participation and cooperation
- b. Responsiveness to human rights and gender equality
- c. Country ownership and driven-ness

¹¹⁰ UNEP's Medium-Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

¹¹¹ <http://www.unep.fr/ozonaction/about/bsp.htm>

¹¹² This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

¹¹³ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

B. Quality of Project Design

The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. The complete Project Design Quality template should be annexed in the Evaluation Inception Report. Later, the overall Project Design Quality rating¹¹⁴ should be entered in the final evaluation ratings table (as item B) in the Main Evaluation Report and a summary of the project's strengths and weaknesses at design stage should be included within the body of the report.

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

- d. Stakeholders participation and cooperation
- e. Responsiveness to human rights and gender equality

C. Nature of External Context

At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval¹¹⁵). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

D. Effectiveness

Availability of Outputs¹¹⁶

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

Factors affecting this criterion may include:

- f. Preparation and readiness
- g. Quality of project management and supervision¹¹⁷

Achievement of Project Outcomes¹¹⁸

¹¹⁴ In some instances, based on data collected during the evaluation process, the assessment of the project's design quality may change from Inception Report to Main Evaluation Report.

¹¹⁵ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management by the project team. From March 2020 this should include the effects of COVID-19.

¹¹⁶ Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

¹¹⁷ 'Project management and supervision' refers to the supervision and guidance provided by UNEP to implementing partners and national governments.

¹¹⁸ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behaviour, attitude or condition (UNEP, 2019)

The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed¹¹⁹ Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary to allow for an assessment of performance. The Evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- h. Quality of project management and supervision
- i. Stakeholders' participation and cooperation
- j. Responsiveness to human rights and gender equality
- k. Communication and public awareness

Likelihood of Impact

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

The Evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

The Evaluation will consider the extent to which the project has played a catalytic role¹²⁰ or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long-lasting impact.

Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-lasting or broad-based changes. However, the Evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals, and/or the

¹¹⁹ All submitted UNEP project documents are required to present a Theory of Change. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

¹²⁰ The terms catalytic effect, scaling up and replication are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. Catalytic effect is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. Scaling up and Replication require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. Scaling up suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while Replication suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.

intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

Factors affecting this criterion may include:

- l. Quality of Project Management and Supervision (including adaptive management)
- m. Stakeholders participation and cooperation
- n. Responsiveness to human rights and gender equality
- o. Country ownership and driven-ness
- p. Communication and public awareness

E. Financial Management

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

Factors affecting this criterion may include:

- q. Preparation and readiness
- r. Quality of project management and supervision

F. Efficiency

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

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

The Evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities¹²¹ with other initiatives, programmes and projects etc. to increase project efficiency.

The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

- s. Preparation and readiness (e.g. timeliness)
- t. Quality of project management and supervision

¹²¹ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

- u. Stakeholders participation and cooperation

G. Monitoring and Reporting

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

Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART¹²² results towards the provision of the project's outputs and achievement of project outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the Evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The Evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for Mid-Term and Terminal Evaluation should be discussed if applicable.

Monitoring of Project Implementation

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

Project Reporting

UNEP has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team. The Evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

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

H. Sustainability

Sustainability¹²³ is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (i.e. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project outcomes may also be included.

¹²² SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

¹²³ As used here, 'sustainability' means the long-lasting maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

Socio-political Sustainability

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

Financial Sustainability

Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new natural resource management approach. The Evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where a project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

Institutional Sustainability

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

Factors affecting this criterion may include:

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

I. Factors Affecting Project Performance and Cross-Cutting Issues

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

Preparation and Readiness

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

Quality of Project Management and Supervision

In some cases, 'project management and supervision' may refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, it may refer to the project management performance of an implementing partner and the technical backstopping and supervision provided by UNEP. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Implementing Agency; Partner/Executing Agency) and the overall rating for this sub-category established as a simple average of the two.

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

Stakeholder Participation and Cooperation

Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UNEP and the implementing partner(s). The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

Responsiveness to Human Rights and Gender Equality

The Evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the Evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment¹²⁴.

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

Note that the project's effect on equality (i.e. promoting human rights, gender equality and inclusion of those living with disabilities and/or belonging to marginalised/vulnerable groups) should be included within the TOC as a general driver or assumption where there is no dedicated result within the results framework. If an explicit commitment on this topic is made within the project document then the driver/assumption should also be specific to the described intentions.

Environmental and Social Safeguards

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The Evaluation will confirm whether UNEP requirements¹²⁵ were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned, are evaluated above under Quality of Project Design).

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

¹²⁴ The Evaluation Office notes that Gender Equality was first introduced in the Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

¹²⁵ For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project design since 2011.

Country Ownership and Driven-ness

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

Communication and Public Awareness

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

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

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

The findings of the Evaluation will be based on the following:

- (a) **A desk review** of:
 - bb. Relevant background documentation, inter alia the outcome document of ICCM5 (Global Framework on Chemicals – For a planet free of harm from chemicals and waste) and other inter-governmental and multi-stakeholder agreements.
 - cc. Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
 - dd. Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
 - ee. Project deliverables, including minutes of Executive Board meetings, QSP project-related documents, minutes from regional meetings, other meetings (Bureau, ICCM and OEWG), communication products, on-line discussion platforms, knowledge management platform and guidance documents;
 - ff. Evaluations/reviews of similar projects.
- (b) **Interviews** (individual or in group) with:
 - gg. UNEP Project Manager/ focal point (Jose de Mesa Alcalde);
 - hh. UNEP Principal Coordinator of the Chemicals & Health Branch (Jacqueline Alvarez);

- ii. SAICM Secretariat staff;
 - jj. UNEP Fund Management Officer (FMO) (Gricha Zurita);
 - kk. Project partners, including IPEN, ICCA, Zoi Environment Network;
 - ll. Sub-Programme Coordinator, Kakuko Nagatani-Yoshida;
 - mm. Relevant resource persons such as the chair and participating organizations of IOMC, regional and national SAICM focal points;
 - nn. Representatives from IGO and NGO focal points.
- c. **Surveys**, as appropriate
 - d. **Field visits**, as appropriate
 - e. **Other data collection tools**, as appropriate.

11. Evaluation Deliverables and Review Procedures

The Evaluator will prepare:

- oo. **Inception Report:** (see Annex 1 for a list of all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- pp. **Preliminary Findings:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings. In the case of highly strategic project/portfolio evaluations or evaluations with an Evaluation Reference Group, the preliminary findings may be presented as a word document for review and comment.
- qq. **Draft and Final Evaluation Report:** containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

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

Review of the Draft Evaluation Report. The Evaluation Consultant will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager/Implementing Partner, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward the revised draft report (corrected by the Evaluation Consultant where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the Evaluation Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

Based on a careful review of the evidence collated by the Evaluation Consultant and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final Main Evaluation Report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

The Evaluation Manager will prepare a **quality assessment** of the first draft of the Main Evaluation Report, which acts as a tool for providing structured feedback to the Evaluation Consultant. The quality of the final report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Project Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 12 months.

12. The Evaluation Consultant

For this Evaluation, the Evaluation Consultant will work under the overall responsibility of the Evaluation Office represented by Susanne Bech, Evaluation Manager, in consultation with the UNEP Project Manager, Jose de Mesa Alcalde, Fund Management Officer Gricha Zurita and Kakuko Nagatani-Yoshida, Sub-programme Coordinator of the Chemicals, Waste and Air Quality Sub-programme (SP-5). The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the Evaluation, including travel. It is, however, the consultant's responsibility (where applicable) to arrange for visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultant to conduct the Evaluation as efficiently and independently as possible.

The Evaluation Consultant will be hired over a period of seven months November 2023 to May 2024 and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of 10 years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making. Good understanding of SAICM is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

The Evaluation Consultant will be responsible, in close consultation with the Evaluation Office of UNEP for overall management of the Evaluation and timely provision of its outputs, described above in Section 11 Evaluation Deliverables. The consultant will ensure together that all evaluation criteria and questions are adequately covered.

In close consultation with the Evaluation Manager, the Evaluation Consultant will be responsible for the overall management of the Evaluation and timely provision of its outputs, data collection and analysis and report-writing. More specifically:

Inception phase of the Evaluation, including:

- rr. preliminary desk review and introductory interviews with project staff;
- ss. draft the reconstructed Theory of Change of the project;
- tt. prepare the evaluation framework;
- uu. develop the desk review and interview protocols;
- vv. draft the survey protocols (if relevant);
- ww. develop and present criteria for country and/or site selection for the evaluation mission;
- xx. plan the evaluation schedule;
- yy. prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the Evaluation, including:

- zz. conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- aaa. (where appropriate and agreed) conduct an evaluation mission(s) to selected countries, visit the project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the Evaluation and confidentiality of evaluation interviews.

- bbb. regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- ccc. keep the Project Manager informed of the evaluation progress.

Reporting phase, including:

- ddd. draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- eee. liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- fff. prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection; and
- ggg. (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluand and the key evaluation findings and lessons)

Managing relations, including:

- hhh. maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- iii. communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

13. Schedule of the Evaluation

The table below presents the tentative schedule for the Evaluation.

Table 3. Tentative schedule for the Evaluation

Milestone	Tentative Dates
Evaluation Initiation Meeting	November 2023
Inception Report	November-December 2023
Evaluation Mission	January-February 2024
E-based interviews, surveys etc.	January-February 2024
PowerPoint/presentation on preliminary findings and recommendations	March 2024
Draft report to Evaluation Manager (and Peer Reviewer)	March 2024
Draft Report shared with UNEP Project Manager and SAICM Secretariat	March-April 2024
Draft Report shared with wider group of stakeholders	March-April 2024
Final Report	May 2024
Final Report shared with all respondents	May 2024

14. Contractual Arrangements

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

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

Schedule of Payment for the Evaluation Consultant:

Deliverable	Percentage Payment
Approved Inception Report (as per annex document #9)	30%
Approved Draft Main Evaluation Report (as per annex document #10)	30%
Approved Final Main Evaluation Report	40%

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

The consultant may be provided with access to UNEP's information management systems (e.g. PIMS, Anubis, SharePoint, etc.) and if such access is granted, the consultant agrees not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

In case the consultant is not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultant has improved the deliverables to meet UNEP's quality standards.

If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultant's fee by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard¹²⁶.

¹²⁶ This may include contract cancellation in-line with prevailing UN Secretariat rules.

ANNEX VIII. QUALITY ASSESSMENT OF THE EVALUATION REPORT

Quality Assessment of the Evaluation Report

Evaluand Title:

Terminal Evaluation: "Secretariat Services to the Strategic Approach to International Chemicals Management - PIMS 02005" (2018-2024)

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills.

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
Quality of the Executive Summary <u>Purpose:</u> acts as a stand-alone and accurate <u>summary</u> of the main evaluation product, especially for senior management. To include: • concise overview of the evaluation object • clear summary of the evaluation objectives and scope • overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria • reference to where the evaluation ratings table can be found within the report • summary response to key strategic evaluation questions • summary of the main findings of the exercise/synthesis of main conclusions • summary of lessons learned and recommendations.	Final report (coverage/omissions): All required elements are addressed. Project background and project identification table completed. Short description of evaluation approach. This evaluation section. Key findings section with statement on achievement of outcome and reference to theory of change. Responses to strategic questions, and the summarized ratings table for conclusions, and summarized Lessons Learned and Recommendations. Final report (strengths/weaknesses): Well-written and summarized executive summary highlighting key findings by selected evaluation criteria. The conclusions section does not include a narrative.	5
Quality of the 'Introduction' Section <u>Purpose:</u> introduces/<u>situates</u> the evaluand in its institutional context, establishes its main parameters (time, value, results, geography) and the purpose of the evaluation itself. To include: • institutional context of the project (sub-programme, Division, Branch etc) • date of PRC approval, project duration and start/end dates • number of project phases (where appropriate) • results frameworks to which it contributes (e.g. POW Direct Outcome)	Final report (coverage/omissions): Required elements are addressed. Detailed description of institutional context of the Secretariat, evaluation purpose and scope of the evaluation. Final report (strengths/weaknesses):	5

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
- coverage of the evaluation (regions/countries where implemented) - implementing and funding partners - total secured budget - whether the project has been evaluated in the past (e.g. mid-term, external agency etc.) - concise statement of the purpose of the evaluation and the key intended audience for the findings.	Concise introduction to the evaluand including context and purpose. Evaluation audience identified for knowledge sharing and learning of lessons from the evaluation.	
Quality of the 'Evaluation Methods' Section <u>Purpose:</u> provides reader with clear and comprehensive description of evaluation methods, demonstrates the <u>credibility</u> of the findings and performance ratings. To include: - description of evaluation data collection methods and information sources - justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face) - number and type of respondents (<i>see table template</i>) - selection criteria used to identify respondents, case studies or sites/countries visited - strategies used to increase stakeholder engagement and consultation - methods to include the voices/experiences of different and potentially excluded groups (e.g. vulnerable, gender, marginalised etc) - details of how data were verified (e.g. triangulation, review by stakeholders etc.) - methods used to analyse data (scoring, coding, thematic analysis etc) - evaluation limitations (e.g. low/ imbalanced response rates across different groups; gaps in documentation; language barriers etc) - ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected. Is there an ethics statement? E.g. <i>'Throughout the evaluation process and in the compilation of the Final Evaluation Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made.'</i>	Final report (coverage/omissions): Short and concise section on evaluation methods covering approach, sources of data collected, ethics in engagement with interviewees and mitigation measures for methods applied. Final report (strengths/weaknesses): Mention of ethics, gender and human rights issues. Details of survey questionnaire and survey response limitations provided and use of triangulation for data analysis.	4.5
Quality of the 'Project' Section <u>Purpose:</u> describes and <u>verifies</u> key dimensions of the evaluand relevant to assessing its performance. To include: <i>Context:</i> overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses) <i>Results framework:</i> summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) <i>Stakeholders:</i> description of groups of targeted stakeholders organised according to relevant common characteristics	Final report (coverage/omissions): Required elements described in a concise manner including description of context, project results framework, stakeholders, project implementation structure and partners, changes in design during implementation and project financing. Final report (strengths/weaknesses): Good use of figure and tables: Figure of project organigram, tables with changes in project	5

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
• <i>Project implementation structure and partners:</i> description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation:</i> any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing:</i> completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing	outcome, and changes in project outputs, and financial tables with donors' contributions, and project budget output-wise.	
Quality of the Theory of Change <u>Purpose:</u> to set out the TOC at Evaluation in diagrammatic and narrative forms to support consistent project performance; to articulate the causal pathways with drivers and assumptions and justify any reconstruction necessary to assess the project's performance. To include: • description of how the <i>TOC at Evaluation</i>¹²⁷ was designed (who was involved etc) • confirmation/reconstruction of results in accordance with UNEP definitions • articulation of causal pathways • identification of drivers and assumptions • identification of key actors in the change process • summary of the reconstruction/results re-formulation in tabular form. <i>The two results hierarchies (original/formal revision and reconstructed) should be presented as a two-column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i> This table may have initially been presented in the Inception Report and should appear somewhere in the Main Evaluation report.	Final report (coverage/omissions): Key elements of the Theory of Change described and figure of the TOC at evaluation included. Final report (strengths/weaknesses): Driver added on gender, vulnerable groups and the poor, however, a narrative of the causal pathways is not included in the section.	4
Quality of Key Findings within the Report <u>Presentation of evidence:</u> nature of evidence should be clear (interview, document, survey, observation, online resources etc) and evidence should be explicitly triangulated unless noted as having a single source. <u>Consistency within the report:</u> all parts of the report should form consistent support for findings and performance ratings, which should be in line with UNEP's Criteria Ratings Matrix. <u>Findings Statements (where applicable):</u> The frame of reference for a finding should be an individual evaluation criterion or a strategic question from the TOR. A finding should go beyond description and uses analysis to provide insights that aid learning specific to the evaluand. In some	Final report (coverage/omissions): Findings presented with evidence and triangulated and ratings for each criterion and sub-category. Consistency within the report of evidence and findings. Final report (strengths/weaknesses):	5

¹²⁷ During the Inception Phase of the evaluation process a *TOC at Evaluation Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
cases, a findings statement may articulate a key element that has determined the performance rating of a criterion. Findings will frequently provide insight into 'how' and/or 'why' questions.	Concise and evidence-based findings presented.	
Quality of 'Strategic Relevance' Section <u>Purpose:</u> to present evidence and analysis of project strategic relevance with respect to UNEP, partner and geographic policies and strategies at the time of project approval. To include: Assessment of the evaluand's relevance vis-à-vis: • Alignment to the UNEP Medium Term Strategy (MTS), Programme of Work (POW) and Strategic Priorities • Alignment to Donor/GEF/Partners Strategic Priorities • Relevance to Regional, Sub-regional and National Environmental Priorities • Complementarity with Existing Interventions: complementarity of the project at design (or during inception/mobilisation¹²⁸), with other interventions addressing the needs of the same target groups.	Final report (coverage/omissions): Section covers the sub-criteria and provides evidence of analysis. Rating for sub-criteria and overall rating of strategic relevance provided. Final report (strengths/weaknesses): Detailed section on complementarity with existing interventions/ coherence.	5
Quality of the 'Quality of Project Design' Section <u>Purpose:</u> to present a summary of the strengths and weaknesses of the project design, on the basis that the detailed assessment was presented in the Inception Report.	Final report (coverage/omissions): Section presents in detail both strength and weaknesses of the project design with insights. Final report (strengths/weaknesses): Table with calculation of ratings for project design included in table.	5
Quality of the 'Nature of the External Context' Section <u>Purpose:</u> to describe and recognise, when appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval¹²⁹), and how they affected performance. While additional details of the implementing context may be informative, this section should clearly record whether or not a	Final report (coverage/omissions): Section assessed in brief external factors affecting project implementation. Final report (strengths/weaknesses): Effects of the COVID-19 pandemic are assessed.	5

¹²⁸ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

¹²⁹ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
major and unexpected disrupting event took place during the project's life in the implementing sites.		
Quality of 'Effectiveness' Section (i) Availability of Outputs: <u>Purpose:</u> to present a well-reasoned, complete and evidence-based assessment of the outputs made available to the intended beneficiaries. To include: - a convincing, evidence-supported and clear presentation of the outputs made available by the project compared to its approved plans and budget - assessment of the nature and scale of outputs versus the project indicators and targets - assessment of the timeliness, quality and utility of outputs to intended beneficiaries - identification of positive or negative effects of the project on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).	Final report (coverage/omissions): A detailed review of available outputs delivered by the project is presented and rated. Final report (strengths/weaknesses): A detailed description of each output (Output 1, output 2, output 3). Good use of tables showing achievement of targets for each output and achievement of milestones.	5
ii) Achievement of Project Outcomes: <u>Purpose:</u> to present a well-reasoned, complete and evidence-based assessment of the uptake, adoption and/or implementation of outputs by the intended beneficiaries. This may include behaviour changes at an individual or collective level. To include: - a convincing and evidence-supported analysis of the uptake of outputs by intended beneficiaries - assessment of the nature, depth and scale of outcomes versus the project indicators and targets - discussion of the contribution, credible association and/or attribution of outcome level changes to the work of the project itself - any constraints to attributing effects to the projects' work - identification of positive or negative effects of the project on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).	Final report (coverage/omissions): Section covers purpose and elements required. Achievement of the project outcome. Final report (strengths/weaknesses): Assessment of outcome by indicator targets and milestones. Emphasis on indicators and therefore effects on disadvantaged groups are not assessed.	4.5
(iii) Likelihood of Impact: <u>Purpose:</u> to present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact, including an assessment of the extent to which drivers and assumptions necessary for change to happen, were seen to be holding. To include: - an explanation of how causal pathways emerged and change processes can be shown - an explanation of the roles played by key actors and change agents	Final report (coverage/omissions): Assessment of intermediate state, drivers and assumptions and each rated. Final report (strengths/weaknesses): Assessment includes reference to other interventions and relevant	5.5

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
- explicit discussion of how drivers and assumptions played out - identification of any unintended negative effects of the project, especially on disadvantaged groups, including those with specific needs due to gender, vulnerability or marginalisation (e.g. through disability).	events as well as interventions by other UN agencies. Three assumptions and three drivers, including Driver 3 – gender, vulnerable groups and the poor is assessed.	
Quality of 'Financial Management' Section <u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table (may be annexed). Consider how well the report addresses the following: <i>adherence</i> to UNEP's financial policies and procedures <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used <i>communication</i> between financial and project management staff	Final report (coverage/omissions): All required elements are covered. Adherence to financial policies and procedures, completeness of financial information and communication between finance and project management staff are described. Final report (strengths/weaknesses): Concise description and assessment. Tables of yearly budget and expenditure by item included.	5
Quality of 'Efficiency' Section <u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under efficiency (i.e. the primary categories of cost-effectiveness and timeliness). To include: - time-saving measures put in place to maximise results within the secured budget and agreed project timeframe - discussion of making use, during project implementation, of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. - implications of any delays and no cost extensions - the extent to which the management of the project minimised UNEP's environmental footprint.	Final report (coverage/omissions): Assessment of efficiency identifies factors that affected timeliness during implementation. Final report (strengths/weaknesses): Emphasis of assessment on effects of COVID-19 pandemic and staffing of the Secretariat in-line with other findings in the report.	5
Quality of 'Monitoring and Reporting' Section <u>Purpose:</u> to present well-reasoned, complete and evidence-based assessment of the evaluand's monitoring and reporting. Consider how well the report addresses the following: - quality of the monitoring design and budgeting (including SMART results with measurable indicators, resources for MTE/R etc.) - quality of monitoring of project implementation (including use of monitoring data for adaptive management) - quality of project reporting (e.g. PIMS and donor reports) \	Final report (coverage/omissions): Concise assessment of monitoring design and budgeting, monitoring of project implementation and project reporting. Final report (strengths/weaknesses): Evidence-based assessment based on revisions of the project	5

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
	document and evidence of monitoring of the project.	
Quality of 'Sustainability' Section <u>Purpose:</u> to present an integrated analysis of all dimensions evaluated under sustainability (i.e. the endurance of benefits achieved at outcome level). Consider how well the report addresses the following: - socio-political sustainability - financial sustainability - institutional sustainability	Final report (coverage/omissions): Satisfactory assessment of sustainability and the 3 sub-categories. Final report (strengths/weaknesses): Evidence-based assessment of the project outcome building review of an intermediate state.	5
Quality of Factors Affecting Performance Section <u>Purpose:</u> These factors are not always discussed in stand-alone sections and may be integrated in the other performance criteria as appropriate. However, if not addressed substantively in this section, a cross reference must be given to where the topic is addressed and that entry must be sufficient to justify the performance rating for these factors. Consider how well the evaluation report, either in this section or in cross-referenced sections, covers the following cross-cutting themes: - preparation and readiness - quality of project management and supervision¹³⁰ - stakeholder participation and co-operation - responsiveness to human rights and gender equality - environmental and social safeguards - country ownership and driven-ness - communication and public awareness	Final report (coverage/omissions): All sub-criteria under factors affecting performance assessed and sufficient to justify for ratings. Final report (strengths/weaknesses): Concise and satisfactory assessment provided.	5
Quality of the Conclusions Section (i) Conclusions Narrative: <u>Purpose:</u> to present summative statements reflecting on prominent aspects of the performance of the evaluand as a whole, they should be derived from the synthesized analysis of evidence gathered during the evaluation process.	Final report (coverage/omissions): Conclusions presented as a summarized narrative of successes of the project and weaknesses of the project, responses to the five strategic	5

¹³⁰ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP. This includes providing the answers to the questions on Core Indicator Targets, stakeholder engagement, gender responsiveness, safeguards and knowledge management, required for the GEF portal.

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
To include: • compelling narrative providing an integrated summary of the strengths and weakness in overall performance (achievements and limitations) of the project • clear and succinct response to the key strategic questions • human rights and gender dimensions of the intervention should be discussed explicitly (e.g. how these dimensions were considered, addressed or impacted on)	questions and table with summary of project findings and ratings. Final report (strengths/weaknesses): Concise and conclusive presentation of success and weaknesses including finding on consideration of human rights principles in the project. Table with summary of project findings and ratings included.	
ii) Utility of the Lessons: <u>Purpose:</u> to present both positive and negative lessons that have potential for wider application and use (replication and generalization) Consider how well the lessons achieve the following: • are rooted in real project experiences (i.e. derived from explicit evaluation findings or from problems encountered and mistakes made that should be avoided in the future) • briefly describe the context from which they are derived and those contexts in which they may be useful • do not duplicate recommendations	Final report (coverage/omissions): Four lessons presented in the prescribed format. Final report (strengths/weaknesses): Well formulated lessons and linked to findings.	5
(iii) Utility and Actionability of the Recommendations: <u>Purpose:</u> to present proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results. Consider how well the lessons achieve the following: • are feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when • include at least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions • represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations. NOTES: (i) In cases where the recommendation is addressed to a third party, compliance can only be monitored and assessed where a contractual/legal agreement remains in place. Without such an agreement, the recommendation should be formulated to say that UNEP project staff should pass on the recommendation to the relevant third party in an effective or substantive manner. The effective transmission by UNEP of the recommendation will then be monitored for compliance. (ii) Where a new project phase is already under discussion or in preparation with the same third party, a recommendation can be made to address the issue in the next phase.	Final report (coverage/omissions): Six recommendations presented in the prescribed format. Final report (strengths/weaknesses): Recommendations linked to findings and addressed with focus on the project-level for the GFC Secretariat and one recommendation at the UNEP-wide level.	5

	UNEP Evaluation Office Comments	Final Report Rating
Report Quality Criteria		
Quality of Report Structure and Presentation (i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office structure and formatting guidelines? Are all requested Annexes included and complete?	Final report (coverage/omissions): Structure and format in-line the guidelines. All requested Annexes included and complete. Final report (strengths/weaknesses): Fully complete report of 60 pages and annexes of 36 pages.	5.5
(ii) Writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information?	Final report (coverage/omissions): Concise and clear English language. Final report (strengths/weaknesses): Concise and readable. Good use of figures and tables	5
OVERALL REPORT QUALITY RATING		5

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	x	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	x	
3. Was the final selection of the Evaluation Consultants made by the Evaluation Office?	x	
4. Were the evaluators contracted directly by the Evaluation Office?	x	
5. Were the Evaluation Consultants given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	x	
6. Did the Evaluation Consultants raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		x
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultants and the Evaluation Manager?		
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	x	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	x	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	x	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion?		x
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	x	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	x	
Project's engagement and support:		
14. Were the project team, Sub-Programme Coordinator and identified project stakeholders given an opportunity to provide comments on the evaluation Terms of Reference?	x	
15. Did the project make available all required/requested documents?	x	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?	x	
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	x	
18. Was close communication between the Evaluation Consultants, Evaluation Office and project team maintained throughout the evaluation?	x	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	x	
20. Were the project team, Sub-Programme Coordinator and any identified project stakeholders given an opportunity to provide comments on the draft evaluation report?	x	

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	x	
22. Was the TOC in the inception report peer-reviewed?	x	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	x	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	x	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultants to the Evaluation Office?	x	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	x	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	x	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office?	x	
29. Did the Evaluation Consultants respond adequately to all factual corrections and comments?	x	
30. Did the Evaluation Office share substantive comments and Evaluation Consultants responses with those who commented, as appropriate?	x	

Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.

<u>Process Criterion Number</u>	<u>Evaluation Office Comments</u>
11.	Evaluation planning process took long due to implications associated with the institutional changeover from SAICM Secretariat to the new Global Framework on Chemicals Secretariat.