2014

Terminal Evaluation of the UNEP/GEF project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol"

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TABLE OF CONTENTS

Page

Acknowledgements 4
List of acronyms 5
Project Profile 6
Резюме на русском языке 7
Executive summary 17
I. Introduction 23
II. The Evaluation 24
A. Objectives of the evaluation 24
B. Overall approach and methods 24
C. Limitations 26
III. The Project 26
A. Context 26
1. Historical overview 26
2. Other GEF funded activities in CEITs 30
3. Status of NOUs at the starting point of the project 32
B. Objectives and components 32
C. Target areas/groups 34
D. Milestones/key dates in project design and implementation 35
E. Implementation arrangements 35
1. Implementation approaches and management framework 35
2. The interaction of NOU with members of national steering committee and higher level authorities 37
3. Response to directives and guidance 38
4. Operational and political / institutional problems and constraints 38
5. GEF environmental and social safeguards and requirements 39
F. Project financing 39
G. Project partners 40
H. Changes in design during implementation 40
I. Reconstructed Theory of Change of the project 41
IV. Evaluation Findings 42
A. Strategic relevance 42
B. Achievement of outputs 43
1. Results by categories of outputs 43
2. Rating of achievement of output 51
C. Effectiveness: Attainment of project objectives and results 52
1. Direct outcomes from reconstructed TOC 52
2. Likelihood of impact using RoTI and based on reconstructed TOC 59
3. Achievement of project goal and planned objectives 62
D. Sustainability and replication 63
1. Socio-political sustainability 63
2. Financial resources 64
3. Institutional framework 65
4. Environmental sustainability 66
5. Catalytic role and replication 67

Page

E. Efficiency 67
F. Factors affecting performance 68
1. Preparation and readiness 68
2. Project implementation and management 69
3. Stakeholder participation and awareness 69
4. Country ownership and motivation 70
5. Evaluation of financial planning 71
6. UNEP supervision and backstopping 74
7. Monitoring and evaluation 74
8. Use of GEF tracking tolls 75
G. Complementarity with UNEP strategies and programmes 75
V. Conclusions and Lessons Learned 75
A. Conclusions 76
B. Lessons Learned 81
VI. Annexes 84
Annex 1- Terms of Reference 84
Annex 2 - Questionnaire 95
Annex 3 - List of individuals consulted and interviewed during the main evaluation phase 101
Annex 4 - 1999 – 2006 GEF funding and co-financing for ODS phase out 105
Annex 5 - CEIT ODS consumption and duration of GEF IS projects (separate Excel file) 106
Annex 6 - Assessment of the quality of project design 107
Annex 7 - Project budget 122
Annex 8 - Reconstructed Theory of Change 125
Annex 9 - Brief resume of the consultant 126

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List of Acronyms

A 2	Article 2 countries under the Montreal Protocol
A 5	Article 5 countries under the Montreal Protocol
CAP	Country Assistance Programme
CEIT	Countries with Economy in Transition
CFC	Chloroflourocarbons
DSA	Daily subsistence allowance
DTIE	UNEP's Division of Technology, Industry and Economics
ECA	European and Central Asia network
GEF	Global Environmental Facility
GHG	Green House Gases
GWP	Global Warming potential
FSP	Full Size Project
HCFC	Hydrochlorofluorocarbons
HFC	Hydrofluorocarbons
HYPR	Half-year project report
iPIC	Informal Prior Informed Consent
MB	Methyl bromide
MLF	Multilateral Fund for the Implementation of the Montreal Protocol
MoP	Meeting of Parties to the Montreal Protocol
MoU	Memorandum of understanding
MP	Montreal Protocol
MSP	Medium size project
NOU	National Ozone Units
ODP	Ozone depleting potential
ODS	Ozone depleting substances
PIF	Project Implementation Form
QPS	Quarantine Pre-Shipment
RAC	Refrigeration and Air-conditioning
ROtI	Review of Outcomes to Impacts
SSFA	Small Scale Funding Agreement.
TM	Task Manager
ToC	Theory of Change
TOR	Terms of Reference
UNEP	United Nations Environmental Programme
UNIDO	United Nations Industrial Development Organization
UNDP	United Nations Development Programme
USSR	Union of Soviet Socialist Republics

Table 1. Project profile

GEF project ID:	3185	**IMIS number:**	GLF-2328-2750-4980
Focal Area(s):	Ozone Depleting Substances.	**GEF OP #:**	N/A
GEF Strategic Priority/Objective:	Short Term Measure on Ozone (STRM)	**GEF approval date:**	20th July 2007
UNEP approval date:	23 February 2007	**First Disbursement:**	
Actual start date:	2009[1]	**Planned duration:**	30 Months
Intended completion date:	March 2010	**Actual or Expected completion date:**	June 2011
Project Type:	Medium sized project.	**GEF Allocation:**	$ 835,000
Geographical scope	Kazakhstan, Tajikistan, Uzbekistan, Azerbaijan	**Implementation:**	Internal
Expected MSP/FSP Co-financing:	$ 408,040	**Total Cost:**	$ 1,243,040
Mid-term review/eval. (planned date):	No	**Terminal Evaluation (actual date):**	December 2013 – April 2014
Mid-term review/eval. (actual date):	No	**No. of revisions:**	Two
Date of last Steering Committee meeting:	30-31 March 2009 in Paris, France	**Date of last Revision:**	Unknown
Disbursement as of 31 December:	To be ascertained	**Date of financial closure:**	Unknown
Date of Completion:	June 2011 (to be confirmed)	**Actual expenditures reported at completion:**	Unknown
Total co-financing realized at completion:	$56,491.60	**Actual expenditures entered in IMIS at completion:**	Unknown

[1] The project was internalized in June 2007 with effective start date of July 2007. However start up was delayed due to a change in UNEP's legal instruments from MOUs to SSFA.

РЕЗЮМЕ

1. Проект по укреплению организационных структур в странах с переходной экономикой (СПЭ) с целью выполнения обязательств Монреальского протокола (МП) представляет собой вторую фазу поддержки этих структур и наращиванию потенциала национальных озоновых офисов (НОО) и других участников проекта в Азербайджане, Казахстане, Таджикистане и Узбекистане. Продолжение проекта предполагалось при утверждении первой фазы проекта для этих стран. Этот проект также нацелен на привлечение сотрудничества со стороны программы ЮНЕП OzonAction в рамках Зелёной таможни и сети для стран Статьи 5 в Европейском и Среднеазиатском регионе, которая финансируется на двусторонней основе и Многосторонним фондом Монреальского протокола. Этот проект дал возможность участвовать в мероприятиях, организованным в рамках этой сети, странам Статьи 2. Этот проект предоставил странам жизненно-важную поддержку в деятельности по сокращению потребления озоно-разрушающих веществ (ОРВ), их мониторингу и контролю в долгосрочной перспективе в условиях ужесточения ограничений, накладываемых Монреальским протоколом, включая контроль над потреблением гидрохлорфторуглеродов (ГХФУ).

2. Проект финансировался Глобальным экологическим фондом (ГЭФ) в сумме 835.000 долл. США с дополнительным финансированием со стороны правительств СПЭ в сумме 108.040 долл. США, включая 36.490 долл. США наличными и 71.150 долл. США в не денежной форме.

3. Согласуясь с политикой и руководством ЮНЕП по проведению оценок, завершающая оценка проекта проводилась независимым экспертом и фокусировалась на темах, связанных с ожидаемыми результатами. Была сделана попытка найти ответы на следующие вопросы:

   i) В какой степени проект способствовал сокращению остаточного потребления ОРВ?
   ii) В какой степени проект помог усилить и улучшить контроль над ОРВ?
   iii) В какой степени проект позволил обеспечить сокращение потребления ОРВ в долгосрочной перспективе, как этого требует Монреальский протокол?
   iv) В какой степени проект способствовал:
      - разработке и внедрению поправок к нормативно-правовым актам, регулирующим импорт/экспорт и маркировку ОРВ и оборудования, содержащего ОРВ?
      - усовершенствованию систем лицензирования ОРВ с учётом расширения охвата мониторинга и вариативности (с целью обеспечить новые требования Монреальского протокола) и обеспечения сотрудничества с национальными участниками проекта?
      - усовершенствованию законодательной и нормативно-правовой поддержки системы лицензирования ОРВ?
      - созданию условий и обучению участников проекта, что позволило им разработать и внедрить систему сертификации пользователей ОРВ, а также улучшить координацию и сотрудничество на национальном и региональном уровнях для борьбы с нелегальной торговлей ОРВ?
      - координации и сотрудничеству на национальном и региональном уровнях по вопросам складирования, изъятия и уничтожения ОРВ?
   v) Насколько полезным оказался региональный подход в обучении и налаживании сотрудничества с другими НОО для повышения квалификации, организации работы с ОРВ и выполнения проекта?

4. Оценка проводилась в период с ноября 2013 по март 2014. Оценка включала в себя анализ имеющейся документации, подготовку предварительного отчёта и полевую фазу.

Предварительный отчёт был подготовлен до начала полевой фазы и являлся основой для начала проведения оценки. Предварительный отчёт фокусировался на нескольких ключевых элементах: анализ структуры проекта; реконструкция "Теории изменений", (основанная на структуре проекта); оценка вероятности реального воздействия проекта посредством анализа его результатов (ROtI); и разработка модели проведения оценки и её охвата. Национальные озоновые офисы привлекались как на стадии планирования, так и проведения оценки.

Основной отчёт состоит из нескольких разделов: **Введение; Раздел проведения оценки**, который знакомит с целями оценки, общим подходом, методикой и ограничениями; **Общий описательный раздел**, который предоставляет сведения об историческом контексте проекта, включая информацию о других проектах ГЭФ, имеющих отношение к результатам данного проекта, о целях и компонентах проекта, о механизмах реализации, финансировании и участниках проекта, а также знакомит с "Теорией иэменений". **Результаты оценки** являются наиболее важным разделом, который позволил сформулировать **Заключения, Выводы** и **Рекомендации.**

Заключения

5. Проект ГЭФ/ЮНЕП по продолжению укрепления организационных структур продемонстрировал эффективность сравнительно небольшой по объёму помощи, выделенной ГЭФ странам с переходной экономикой. Азербайджан, Казахстан, Таджикистан и Узбекистан показали способность выполнять более жёсткие требования Монреальского протокола, применяемые для развитых стран, хотя их экономическая ситуация более сопоставима с развивающимися странами, действующими в рамах статьи 5. Общий уровень потребления ОРВ в четырёх СПЭ был сокращён со 138,1 тонн озоно-разрушающего потенциала (ОРП) в 2009 году (первый год проекта) до 30,35 тонн ОРП в 2012 году (первый год после завершения проекта). Эти достижения стали возможными, благодаря возросшему потенциалу НОО, а также мотивации и конкретным мерам, принятым правительствами этих стран по введению необходимых законодательных и нормативно-правовых актов.
6. НОО, получившие поддержку, смогли развернуть широкую информационно-разъяснительную кампанию в правительственных учреждениях, частном секторе и среди населения. Эти мероприятия позволили повысить уровень информированности правительств и других участников проекта и способствовали выполнению обязательств по достижению существующих и планируемых целей Монреальского протокола. Повысилась информированность среди населения о проблемах озонового слоя и Монреальском протоколе. Структура проекта ЮНЕП не содержит описания начальных условий и показателей эффективности относительно изменения в отношении населения к окружающей среде, что позволило бы оценить результаты информационно-разъяснительной кампании в количественном выражении, а именно в сокращении потребления ОРВ или другим образом. Реакция аудитории показала интерес и желание получить более конкретную информацию относительно взаимосвязи Монреальского и Киотского протоколов. Специалисты в холодильном секторе проявили интерес в получении более глубокой и детальной информации по энерго-эффективным и экологически чистым технологиям.

7. Нелегальная торговля ОРВ всё ещё представляет серьёзную проблему в СПЭ. На региональном совещании Зелёной таможни в 2010 году было признано, что ежегодно в Европейском и Среднеазиатском регионе (ECP) объём нелегальной торговли чистыми ОРВ и ОРВ, незаконно-задекларировнными как извлечённые, составляет несколько сотен тонн ОРП, наряду с продолжением запрещенной торговли использованным оборудованием, содержащим

ОРВ. Правительства предприняли серьёзные меры по контролю над исполнением законодательства, регулирующего сокращение потребления ОРВ, принимая меры по усилению контроля на границе за перемещением ОРВ и борьбе с нелегальной торговлей путём регулярного обучения сотрудников таможни и предоставления по мере возможностей необходимого оборудования. В этой связи, помощь, оказанная ГЭФ, была очень важной для усиления потенциала таможенных служб в СПЭ. Эта помощь была направлена на дополнительное обучение сотрудников таможни и участия в региональном диалоге, организованном сетью ЮНЕП в ECP и Зелёной таможней. Подтверждением значимости помощи, оказанной ГЭФ, является награждение сотрудников таможни Казахстана и Узбекистана медалями ЮНЕП за их деятельность по борьбе с нелегальной торговлей ОРВ и подержанным холодильным оборудованием. Существует потребность в более современном аналитическом оборудовании для использования на пунктах контроля для проверки состава и качества, ввозимых ГХФУ как в чистом виде, так и в составе смесей. Ранее предоставленные портативные газоанализаторы сильно устарели и многие приборы уже вышли из строя.

8. Участие в диалоге, организованном ЮНЕП в ECP, способствовало присоединению Азербайджана, Таджикистана и Узбекистана к системе предварительного обоснованного согласия (iPIC), в рамках которой контактные центры Монреальского протокола консультируются друг с другом, прежде чем выдать лицензию на импорт или экспорт ОРВ. В ряде случаев нелегальная торговля могла бы быть остановлена, если бы механизм iPIC применялся повсеместно и универсально. Однако таможенные органы в СПЭ отмечают, что механизм iPIC не очень эффективен, так как только европейские экспортёры уведомляют соответствующих должностных лиц в странах-импортёрах. Основные экспортёры ОРВ и оборудования, содержащего ОРВ, в Китае, Индии и других азиатских странах не используют механизм iPIC.

9. Сотрудничество НОО в рамках сети ECP по проблеме сбора, складирования и уничтожения запрещённых ОРВ не было достаточно успешным. Региональный подход к организации удаления и уничтожения ОРВ в ECP ещё не был разработан ко времени выполнения проекта. Участие НОО в сети ECP не принесло ожидаемых результатов в создании ассоциаций холодильщиков в Азербайджане, Казахстане и Узбекистане. Ассоциация холодильщиков в Таджикистане была учреждена в 2005 году ещё до начала проекта и её представители участвовали в тематических совещаниях сети ECP.

10. Пользуясь поддержкой ГЭФ, НОО в Казахстане, Таджикистане и Узбекистане успешно осуществляли сбор данных по потреблению ОРВ и своевременно сообщали эти данные в Секретариат по озону в соответствии со Статьёй 7 Монреальского протокола. Вместе с тем, правительство Азербайджана не предоставило достаточной поддержки НОО в мониторинге потребления ОРВ и подготовке надёжных данных по потреблению ОРВ, что явилось причиной рассмотрения этой проблемы Комитетом по выполнению Монреальского протокола. В этой связи необходимо отметить дополнительную помощь, оказанную четырём СПЭ в проведении детальных обследований потребителей ОРВ в рамках проекта ГЭФ “Подготовка к сокращению потребления ОРВ в СПЭ“, выполненного ПРООН и ЮНИДО. Этот проект существенно помог в учёте потребления ГХФУ-141Б в секторе пеноматериалов, повысив значимость данных об общем потреблении ОРВ. Потребление ГХФУ-141б не учитывалось, так как до 2009 года это ОРВ рассматривалось как компонент смеси при производстве пеноматериалов. После этой даты Многосторонний фонд включил компонент ГХФУ-141Б в общее потребление ОРВ. До 2009 года не существовало системы надлежащего мониторинга и контроля над импортом, распределением и использованием предварительно смешенного полиольного компонента.

11. Существует общее представление о том, что внедрение надлежащего технического обслуживания оборудования в холодильном секторе даёт в результате сокращение выбросов ОРВ и повышает качество ремонта и обслуживания, что в равной мере отвечает запросам потребителей и ведёт к улучшению качества окружающей среды. Обязательная сертификация технического персонала является важным требованием для достижения этой цели, при этом создание ассоциации холодильщиков рассматривается как первый шаг на этом пути. НОО Узбекистана предпринял несколько попыток для учреждения такой ассоциации, и в настоящее время работает над юридическими аспектами этой задачи. Азербайджан и Казахстан сильно отстают. В Таджикистане, ассоциации холодильщиков существует с 2005 года. Однако практическое внедрение обязательной сертификации и закрепление официального статуса за сертификатами, выданными ассоциацией холодильщиков в этой стране, наталкивается на серьёзные препятствия. Квалификация технического персонала, получившего сертификаты, требует подтверждения со стороны Министерства образования, равно как и учебный процесс, программа обучения, тестирование и.т.д. Необходимо, чтобы НОО получили полную информацию о требованиях к обязательной сертификации в своих странах.

12. Проект был утверждён ЮНЕП с началом выполнения в июле 2007 года. В соответствие с планом продолжительность проекта была определена в 30 месяцев. Однако начало проекта в Казахстане, Таджикистане и Узбекистане было задержано на два года, а в Азербайджане на три года в связи с изменением формы юридического соглашения со стороны ЮНЕП (Меморандум о взаимопонимании был заменён на Соглашение о финансировании). Кроме того в ЮНЕП произошла реорганизация в административном управлении проектом. Дополнительный год задержки в Азербайджане был вызван тем, что обнаружился непогашенный остаток примерно в 15.000 долл. США от финансирования первоначального проекта ГЭФ/ЮНЕП по поддержке организационных структур, который завершился семь лет назад в 2002 году. Столь значительная задержка с началом выполнения проекта и сокращение его продолжительности имели крайне негативное воздействие на эффективность работы НОО в этих странах. Несмотря на важность проведения реорганизации в системе управления ЮНЕП/ГЭФ и значимость соблюдения финансовой отчётности, задержка начала проекта в течение трёх лет представляется чрезмерно большой.

13. Проект для четырёх СПЭ был утверждён как региональный всеобъемлющий проект. Проектный документ, однако, не предлагает достаточного обоснования такого подхода. Географический охват проекта являлся национальным с включением лишь некоторых компонентов в более широкий региональный контекст Европейской и среднеазиатской сети ЮНЕП, включающей в себя двенадцать стран Статьи 5 в Европе и Азии. Дополнительные соображения на этот счёт приводятся в параграфе 176.

14. Эффективность помощи, предоставленной ГЭФ для поддержки организационных структур и продолжению работы по сокращению использования ОРВ, была весьма высокой. Однако следует иметь в виду, что при единоразовом финансировании ключевых элементов таких организационных структур в странах с переходной экономикой со столь низкими доходами на душу населения трудно ожидать долговременных устойчивых результатов их деятельности. Есть основания предполагать, что в отсутствие продолжения внешней поддержки приобретённый потенциал может начать деградировать, повышая риски в соблюдении графика ускоренного вывода из употребления ГХФУ. Кроме того, как показано в параграфах 160 и 161, финансирование НОО из центрального бюджета не гарантирует постоянства состава персонала НОО и его квалификации. Необходимо разрабатывать и принимать меры по включению функций НОО в государственные структуры управления с учётом долговременной перспективы и вводить системы поощрения сотрудников НОО, которые бы позволяли дополнять установленный уровень их зарплаты из других финансовых источников.

Рейтинг

15. Всем результатам проекта был присвоен рейтинг, Для каждого компонента была выбрана своя шкала рейтинга. Для большинства критериев использовалась следующая шести бальная шкала: Весьма успешно (ВУ); Успешно (У); Умеренно успешно (УУ); Умеренно неуспешно (УН); Неуспешно (НУ); Весьма неуспешно (ВН).

16. Для каждой из характеристик сохранения устойчивости результатов применялась следующая шкала:

    Вероятно (В) – Риск устойчивости отсутствует.
    Умеренно вероятно (УВ) – Существует умеренный риск сохранения устойчивости результатов.
    Умеренно маловероятно (УМ) – Существует серьёзный риск сохранения устойчивости результатов.
    Маловероятно (М) – Сохранению устойчивости угрожают крайне опасные риски.

17. Проект в целом был оценен как успешный. Присвоенные рейтинги с кратким пояснением обоснования рейтингов показаны в Таблице 6 для каждого из критериев оценки.

Таблица 2. Рейтинги оценки

Критерии	Краткие пояснения	Рейтинг
A. Соответствие стратегическим целям	Проект и его результаты соответствовали целям программы ЮНЕП OzoneAction, Проект является частью плана ЮНЕП по управлению природоохранной деятельностью и стратегического плана, принятого на Бали. Проект также соответствует нескольким стратегическим целям ГЭФ.	ВУ
B. Выполнение запланированных мероприятий	Выполнение запланированных мероприятий было оценено по пяти категориям в четырёх странах. Рейтинг выполнения варьировался от ВУ до УН (см. Таблицу 4 в тексте отчёта). Общий рейтинг (У).	У
C. Эффективность: Достижение целей проекта и его результаты		У
1. Достижение желаемых результатов	Достижение желаемых результатов оценивалось по пяти категориям в четырёх странах. Рейтинг варьировался от ВУ до УН (см. Таблицу 5 в тексте отчёта). Общий рейтинг (УУ).	УУ
2. Вероятность положительного воздействия	Достигнутые промежуточные результаты напрямую связаны с явно выраженным и непосредственным положительным экологическим воздействием. Возникшие трудности были успешно преодолены. В результате выполнения проекта достигнуто сокращение потребления ОРВ и уменьшение выбросов посредством извлечения и рециркуляции ОРВ.	Весьма вероятно
3. Достижение основной цели проекта и запланированных показателей	Достижение поставленных целей и показателей связано с успешным выполнением запланированных мероприятий и получение желаемых результатов. Странам удалось достичь заметного сокращения потребления ОРВ в 2012 году, который последовал сразу за завершением проекта в 2011 году. Национальные стратегии по сокращению потребления ГХФУ были разработаны с помощью ПРООН в Узбекистане и Таджикистане и с помощью ЮНИДО в Азербайджане при поддержке со стороны функционирующих НОО и других участников в рамках регионального проекта ГЭФ по поддержке СПЭ. Эти два ключевых фактора определили рейтинг вероятности положительного воздействия как ”Весьма вероятный“.	У

Критерии	Краткие пояснения	Рейтинг
	Этот рейтинг позволяет заключить, что основная цель проекта была достигнута. Общий рейтинг достижения основной цели проекта и запланированных показателей определён как “Успешный“.	
D. Устойчивость и повторение полученного опыта		УВ
1.Финансовая	В краткосрочной перспективе финансовые риски устойчивости полученных результатов можно считать небольшими в Азербайджане, Таджикистане и Узбекистане. В то же время риски для сохранения положительных результатов и в конечном итоге дальнейшего сокращения потребления ОРВ в Казахстане остаются высокими в силу того, того процесс рассмотрения запроса на оказание помощи от ГЭФ находится на самой начальной стадии, так как ратификация Пекинской поправки Казахстаном сильно задерживается.	УВ
2. Социально-политическая	Правительства Узбекистана и Таджикистана полностью и своевременно выполнили обязательства, вытекающие из принятия Монреальского протокола и его поправок. Правительство Азербайджана испытывает трудности в попытке привести в соответствие данные, предоставляемые в рамках Статьи 7. Правительство Казахстана не полностью выполняет требования Монреальского протокола и его поправок тем самым, создавая риски для устойчивости результатов проекта.	УВ
3. Организационная структура	Организационная структура и система управления в Узбекистане оценивается как весьма надёжная. Организационная структура и система управления в Таджикистане оценивается как достаточно надёжная. В недалёком прошлом правительство Казахстана не демонстрировало выполнения своих обязательств в законотворческой сфере надлежащим образом с тем, чтобы соответствовать требованиям Монреальского протокола, предъявляемых к странам Статьи 2. Тем не менее, в текущем году заметны признаки улучшения. В Азербайджане основные проблемы связаны с отсутствием надёжной системы сбора и предоставления данных о потреблении ОРВ.	УВ
4. Экологическая	Существует ряд вероятных экологических рисков, таких как нелегальная торговля, недостаточная законодательная база по обязательной рециркуляции ОРВ, неудовлетворительное управление отходами ОРВ в четырёх СПЭ, продолжающееся использование метил бромида в Казахстане, которые, если их не контролировать, могут подорвать результаты по охране озонового слоя, достигнутые к настоящему времени. Эти риски признаются и перечислены в параграфе 165. В отношении этих рисков ПРООН и ЮНИДО будут принимать меры в рамках выполнения проектов, финансируемых ГЭФ. Проект по метил бромиду в Казахстане находится в стадии обсуждения.	УВ
5. Каталитическая роль проекта и повторение полученного опыта	Все НОО подчёркивали важную роль участия в выполнении проекта для приобретения персоналом НОО управленческого опыта. Ряд сотрудников НОО в настоящее время работают в выполнении других экологических проектов, поддерживаемых ГЭФ и другими международными организациями. Конкретные примеры приводятся в параграфах 168 – 170 отчёта.	В
Е. Эффективность	Была проведена оценка своевременности реализации проекта, который выполнялся с весьма серьёзной задержкой с длительностью около двух лет. Страны получатели помощи предоставили	УУ

Критерии	Краткие пояснения	Рейтинг
	софинансирование (главным образом в неденежной форме) в сумме 56.481,40 долл. США, потраченных на аренду помещений, приобретение офисной мебели и на коммунальные услуги, что являлось дополнением к бюджету проекта. Финансирование предыдущих проектов со стороны ГЭФ способствовало стабильности кадров в НОО, что отчётливо прослеживалось в Узбекистане, в меньшей мере в Таджикистане и Казахстане и полностью отсутствовало в Азербайджане.	
F. Факторы, оказавшие влияние на выполнение проекта		
1. Подготовка и готовность к началу выполнения проекта	Анализ качества структуры проекта и подготовки его выполнения приводятся в Приложении 2. Факторы, которые негативно отразились на готовности и структуре проекта, включают в себя: сокращённая длительность проекта в связи с продолжительным периодом утверждения и начала финансирования; чрезмерно амбициозные цели проекта при ограниченном финансировании и малой продолжительности проекта и сопутствующие этому не совсем реалистические ожидания со стороны ГЭФ/ЮНЕП; и не совсем обоснованная региональная концепция проекта.	УН
2. Реализация и управление проектом	Следует отметить, что ряд положений не нашли достаточно ясного отражения в Соглашениях о финансировании между ЮНЕП и соответствующими правительствами. Будучи включёнными в Соглашения, эти положения могли бы помочь в решении таких проблем как: несвоевременная ратификация Казахстаном поправок к Монреальскому протоколу и невыполнение графика сокращения потребления ОРВ в этой стране; ненадёжность данных потребления ОРВ в Азербайджане; и потенциальное несоблюдение графика сокращения потребления ОРВ в Таджикистане. Значительная задержка с началом проекта и последующее сокращение его длительности оказали негативное влияние на эффективность работы НОО. В целом, персонал НОО выразил удовлетворение реализацией и управлением проекта со стороны ЮНЕП за исключением проблемы с задержкой его начала.	УУ
3. Контакты с участниками проекта и информированность населения	НОО поддерживали тесные рабочие связи главным образом с соответствующими подразделениями министерств по охране природы и таможенными службами. Эффективность деятельности по повышению информированности населения оценена достаточно высоко.	У
4. Заинтересованность и мотивация стран-участниц проекта	Заинтересованность и мотивация стран-участниц проекта выражалась в деятельности соответствующих правительств по оказанию надлежащей поддержки в выполнении проекта. Эта деятельность оценивается как успешная. Три страны присоединились ко всем поправкам в положенные сроки.	УУ
5. Финансовое планирование и управление проектом	Финансовое планирование и управление проектом получило рейтинг “Умеренно успешное“ в связи с годовой задержкой начала финансирования в Азербайджане из-за непогашенного остатка от финансирования проекта в 2002 году. Существует неопределённость относительно процедуры отчётности по расходам последнего транша авансированного Узбекистану.	УУ
6. Мониторинг и надзор за выполнением проекта со стороны ЮНЕП	НОО в четырёх странах-участницах проекта оценили надзор и содействие в выполнении проекта со стороны менеджера проекта и финансового управляющего как успешные. Не было отмечено	УУ

Критерии	Краткие пояснения	Рейтинг
	конфликта интересов между управлением проекта и надзором за его выполнением. Было бы предпочтительно, чтобы проблема с непогашенным остатком по предыдущему проекту ГЭФ/ЮНЕП была бы обнаружена и решена на более ранней стадии финансового планирования. ЮНЕП надлежало бы принять более срочные и решительные меры по разрешению ситуация с несоблюдением МП в Казахстане и своевременной ратификации поправок к МП в контакте с представителями правительства на высоком уровне.	
7. Мониторинг и оценка		УУ
a. Структура M&O	Структура проведения мониторинга и оценки была рассмотрена и оценена в Приложении 2 к отчёту. Качество плана по проведению мониторинга и оценки было признано как “ Успешное “.	У
b. Реализация плана M&O	Некоторые конкретные недостатки в мониторинге и отражении его результатов в годовых отчётах по выполнению описаны в параграфах 203 и 206 отчёта.	УУ
Общий рейтинг проекта	Соответствие стратегическим целям и эффективность рассматривались как наиболее важные критерии при определении общего рейтинга проекта.	У

18. Ряд полезных выводов был сделан на основе полученных результатов оценки и заключений, которые, можно надеяться, помогут решить некоторые конкретные проблемы, связанные с проектом и устойчивостью его результатов.

Выводы

19. Проект показал, что в средне- и долгосрочной перспективе наличие стабильных и эффективных НОО крайне важно для успешного выполнения обязательств, взятых на себя СПЭ по ускоренному сокращению потребления ГХФУ в рамках Монреальского протокола. Опыт последнего десятилетия показывает, что для СПЭ с низким доходом на душу населения, было бы очень трудно поддерживать работоспособность НОО без внешней поддержки. Поэтому поддержка, оказанная со стороны ГЭФ по укреплению организационного потенциала в СПЭ, была критически необходима. Помощь со стороны ГЭФ была также оказана Таджикистану и Узбекистану в рамках регионального проекта ПРООН по сокращению потребления ГХФУ в СПЭ и Азербайджану посредством аналогичного проекта, выполняемого ЮНИДО. Важно, чтобы эти исполнительные агентства выделили необходимые ресурсы из бюджета проектов на поддержку НОО в соответствующих странах для продолжения их деятельности.

20. Одной из целей по сохранению устойчивости результатов проекта было содействие по внедрению НОО в государственные управленческие структуры с финансирование персонала НОО из центрального бюджета. В силу очень низкого уровня зарплаты государственных служащих в данных четырёх СПЭ финансирование из центрального бюджета не гарантирует продолжительной занятости достаточно компетентного и квалифицированного персонала в составе НОО. В этих СПЭ необходимо разработать и внедрить такие меры, которые бы гарантировали закрепление квалифицированных кадров в составе НОО на длительную перспективу, включая разработку системы финансового поощрения используя дополнительные источники финансировании. Хорошим примером является Узбекистан, где такие меры успешно применяются.

21. В последние годы правительства СПЭ сосредоточили своё внимание на экономическом росте, снижая требования по регистрации предприятий, использующих ОРВ, а также, сокращая число разного рода инспекционных проверок, особенно в отношении малого и среднего бизнеса, включая сокращение экологических инспекций по проверке использования ОРВ. Такая государственная политика может повлечь дополнительные риски роста нелегального импорта ОРВ и, соответственно, потребовать более жёсткого контроля импорта на пограничных пунктах сотрудниками таможни. Снижение требований по регистрации предприятий и сокращение числа проверок может также ослабить возможности правительств отслеживать число вновь возникающих предприятий, работающих с ОРВ, что в свою очередь может сказаться на ослаблении управления озоноразрушающими хладагентами и росте выбросов ОРВ в атмосферу. НОО в сотрудничестве с ПРООН и ЮНИДО могли бы рассмотреть возможность установить диалог с правительствами и найти нужный компромисс без ущерба для контроля над ОРВ в соответствующих странах.

22. В результате выполнения проекта повысилась информированность населения о проблемах озонового слоя и Монреальского протокола. Структура проекта ЮНЕП, однако, не содержит информации о базовом уровне и критериях, относящихся к регистрации изменений в отношении населения к вопросам экологии. Наличие таких механизмов позволило бы определить результаты программы по повышению информированности населения в количественном выражении в виде сокращения потребления ОРВ или другим образом. Секретариат ЮНЕП и Бюро по оценкам могли бы рассмотреть необходимость разработки требований по предоставлению информации о базовом уровне и показателей результативности.

23. Финансирование со стороны ГЭФ было использовано для поощрения участия НОО и представителей правительств СПЭ в региональной деятельности в рамках ЕСР, организованной программой ЮНЕП OzoneAction, что способствовало повышению квалификации участников, обмену опытом, знаниями и идеями с другими участниками из развитых и развивающихся стран региона. Уровень такого участия СПЭ сильно понизился с окончанием проекта ГЭФ. Совершенно необходимо, чтобы ПРООН и ЮНИДО выделили необходимые ресурсы в рамках проектов по ГХФУ для финансирования участия СПЭ в региональной деятельности ЕСА региона в ближайшем будущем.

24. Азербайджан, Таджикистан и Узбекистан присоединились к системе предварительного обоснованного согласия (iPIC) в рамках которой контактные центры Монреальского протокола консультируются друг с другом, прежде чем выдать лицензию на импорт или экспорт ОРВ. В ряде случаев нелегальная торговля ОРВ могла бы быть предотвращена, если бы механизм iPIC применялся всеми странами, участвующими в торговле ОРВ. К сожалению, основные экспортёры ОРВ и оборудования, содержащего ОРВ, не информируют СПЭ о предстоящем экспорте через каналы iPIC. Это положение могло бы быть улучшено, если бы ЮНЕП продолжило обсуждение этой проблемы на совещаниях других соответствующих региональных сетей и Зелёной таможни, а также со странами основными экспортёрами ОРВ, в частности с Китаем и Индией.

25. Азербайджан испытывает трудности в мониторинге потребления ОРВ и в подготовке надёжных дынных. Эта проблема обсуждалась Комитетом по соблюдению в 2013 году. Частично такое положение объясняется тем, что потребление ГХФУ-141Б не регистрировалось надлежащим образом, так как до 2009 года это ОРВ рассматривалось как компонент смеси при производстве пеноматериалов. После этой даты Многосторонний фонд включил ГХФУ-141Б как компонент смеси в общее потребление ОРВ. До 2009 года не существовало системы надлежащего мониторинга и контроля над импортом, распределением и использованием ГХФУ-141Б в предварительно смешенном полиольном компоненте. Учёт потребления

ГХФУ-141Б является относительно новой задачей для НОО в СПЭ. НОО и экологические инспекции нуждаются в дополнительном обучении мониторингу использования ГХФ-141Б при производстве пеноматериалов. Необходимо улучшить оснащение пунктов таможенного контроля, позволяющее отслеживать импорт ГХФУ в чистом виде и в смесях. Соответственно должна быть усилена и нормативно-правовая база.

26. Введение обязательной сертификации персонала по обслуживанию холодильной техники и закрепление официального статуса выданным сертификатам может потребовать рассмотрения и одобрения этого процесса в министерстве образования и/или министерстве труда.

27. Начало выполнения проекта задержалось на два года в Казахстане, Таджикистане и Узбекистане и на три года в Азербайджане, вызванное переходом ЮНЕП с меморандума о намерениях к финансовому соглашению, а также внутренней реорганизацией. Дополнительная задержка в течение ещё одного года в Азербайджане произошла вследствие обнаружения непогашенного остатка от финансирования проекта, завершённого в 2002 году. Столь длительная задержка с началом проекта и сокращение его длительности оказало заметное негативное воздействие на эффективность работы НОО в этих странах. Секретариатам ГЭФ и ЮНЕП следовало бы рассмотреть меры, которые бы обеспечивали более оперативную подготовку и подписание соглашений о финансировании с соответствующими правительствами и более своевременное завершение отчётности по завершённым проектам.

28. Проект для четырёх СПЭ был утверждён как зонтичный региональный проект, не предоставляя серьёзных обоснований в выборе такой концепции. Менеджер проекта указал на трудоёмкость управления и надзора за такими проектами. В будущем, Секретариатам ГЭФ и ЮНЕП следовало бы более тщательно изучать необходимость использования регионального формата при утверждении проектов для стран с несходным уровнем потребления ОРВ и разнородной структурой управления промышленностью .

29. Отсутствие важной информации и документации в бумажных файлах и электронных базах данных некоторых НОО создало трудности и ограничения при проведении оценки. НОО объясняли такое положение тем, что с момента завершения проекта прошло три года, и в связи с ротацией персонала часть документации была утрачена. НОО также ссылались на отсутствие своевременного уведомления со стороны ЮНЕП о возможности предстоящей оценки и требований сохранить всю имеющуюся документацию. Что касается времени проведения оценки, необходимо принимать во внимание следующие обстоятельства. Данные о потреблении ОРВ, предоставленные за 2012 год характеризуют потребление ОРВ в течение первого года после окончания проекта в 2011 году. В соответствие с регламентом данные за 2012 год предоставлялись в четвёртом квартале 2013 года. На основании этих данных оценка, проведённая в первой половине 2014 года, позволила установить реальное воздействие проекта с точки зрения сокращения потребления ОРВ. По этой причине отсрочка с выполнением оценки в три года является оптимальной для регистрации количественных результатов проекта. Что касается наличия документации, ЮНЕП необходимо заранее информировать НОО о предстоящих оценках и просить их сохранять всю документацию, по крайней мере, в течение трёх лет после завершения проекта.

Executive Summary

1. The project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal protocol" aimed at giving the second phase of support to institutional strengthening and capacity building of the NOUs and stakeholders in Kazakhstan, Tajikistan, Uzbekistan and Azerbaijan, as was anticipated at the approval of the first phase of IS support for these countries. It also sought to leverage other work by UNEP OzonAction in the area of Green Customs and the Article 5 (A-5) Europe and Central Asia (ECA) Network (funded bilaterally and by the Multilateral Fund (MLF) to the Montreal Protocol): this project includes support for these A-2 countries to participate in these broader regional activities. This project intended to give vital co-operational support to the countries for the development and enforcement of national policies and mechanisms able to achieve long-term phase out and monitoring and control of ODS consumption in the face of ever-increasing phase out restrictions of the Montreal Protocol, including for HCFCs.

2. The project financing came from GEF and amounted to US $835,000; co-financing originated from CEIT governments and amounted to US $36,490 in cash and US $71,150 in-kind for a total of US $108,040. The amount of US $300,000 was also accounted as co-financing to the project and represents a portion of the total ECA Network budget allocated by the Multilateral Fund for the organization of Network meetings for Article 5 countries.

3. In line with the UNEP Evaluation Policy and the UNEP Evaluation Manual, the terminal evaluation of the Project was conducted by an independent consultant and focused on the sets of key questions, based on the project's intended outcomes. These questions sought the answer to what extent the project support:
   (i) addressed outstanding phase out;
   (ii) strengthened and improved the controls in place;
   (iii) ensured that ODS phase out is sustained in the long term, as is expected under the Montreal Protocol;
   (iv) To what extent the project contributed to:
   - The development and implementation of adjustments of regulations for ODS import/export and labeling requirements for ODS and ODS containing-equipment;
   - Enhanced ODS Licensing Mechanisms, with increased scope of elements for monitoring, flexibility (to adjust to changes in the Montreal Protocol Schedule) and cooperation between national players;
   - Enhanced legislative and regulatory support for the ODS Licensing Systems;
   - the provision of environment and training of the key stakeholders to enable them to monitor the status of development and implementation of certification of ODS users, the improvement of coordination and cooperation at the national and regional level on illegal trade of ODS; and
   - The improvement of coordination and cooperation at the national and regional level on ODS stockpiling and disposal/destruction issues.

   (v) And to what extent the regional approach used by the project was useful in promoting peer to peer learning, support and cooperation in terms of overall management of ODS and project execution.

4. The evaluation was conducted between mid of November 2013 and beginning of March 2014. The evaluation included a desk-based review of relevant available documentation, preparation of the inception report and field visits. An Inception Report was prepared ahead of the country visits to provide a foundation for the evaluation. The Inception Report focused on the following key components: review of the quality of project design; reconstruction of initial theory of change (based on the project design); the assessment of the likelihood of impact through Review of Outcomes to

Impacts (ROtI); and development of the evaluation process and framework. The National Ozone Units in the four CEITs were involved in the planning and execution of the evaluation.

5. The main report is organized in several sections: **Introduction**; **Evaluation Section,** which presents information about evaluation objectives, overall approach, methods and limitations; **Project Description Section,** which covers the historical context of the project, including description of other GEF funded activities relevant to project results, project objectives and components, implementation arrangements, project financing and partners, and reconstructed Theory of Change. **Evaluations Findings** is the most important section of the report and it was used for distillation of **Conclusions and Lessons Learned.**

6. The analysis of findings resulted in a number of conclusions reached and lessons learned as a result of the reviews of available documentation, interviews with stakeholders and other activities undertaken in connection with the evaluation. The conclusions and lessons have been described in Section V on Pages 79-86. The main points are summarized in the following paragraphs.

7. The GEF/UNEP continued institutional strengthening project provided relatively small financial assistance to NOUs in Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan which turned out to be very effective for successful fulfillment of CEIT obligations under the accelerated phase out schedule for HCFCs of the Montreal Protocol applied for Article 2 countries. The cumulative ODS consumption of the four CEITs was reduced from 138.1 ODP tonnes in 2009 (the first year of the project) to 30.35 ODP tonnes in 2012 (the year followed after the last year of the project). This achievement was made possible because of enhanced capacity of NOUs, motivation and specific actions undertaken by respective Governments in adopting timely the necessary legislative and regulatory systems. However, with only limited funding for key institutional capacity activities it is difficult for such low income CEITs to sustain those efforts resulting in increasing risks to continued compliance with accelerated HCFC phase out schedule. Furthermore, the funding of NOUs from the central budget does not guarantee the continuity of efficient and competent NOU staff. Modalities need to be developed to incorporate NOU functions into the government institutional framework in the long-term perspectives, including the system of incentives to complement regular salaries from the other sources of funding.

8. The strengthened NOUs managed to launch extensive awareness raising campaigns for government officials, relevant businesses and general public that resulted in increased awareness and capabilities of Government and stakeholders to fulfill their commitments in regard to existing and forthcoming ODS phase out targets under the Montreal Protocol. General public became more informed about ozone related issues and Montreal Protocol.

9. The GEF support was very effective for building up the participation of CEITs in ECA regional activities organized by UNEP OzoneAction and financed under the MLF CAP. The NOUs and government representatives obtained broader access to experiences, in the development of skills, and the sharing knowledge and ideas with counterparts from both developing and developed countries. Participation in Green Customs activities was very important for enhancing Customs capabilities in CEITs along with additional training of customs officers supported by GEF funding for sustaining the combat with illegal ODS trade which is still a big problem in CEITs. The cooperation of NOUs with ECA network on the issue of stockpiling and destruction of unwanted ODS was not, however, equally successful. The regional approach to ODS Waste Management and Disposal in the ECA Region is still under development. Similarly, participation of NOUs in ECA networking did not bring expected results in establishing refrigeration associations in Azerbaijan, Kazakhstan and Uzbekistan.

10. The strengthened NOUs in Kazakhstan, Tajikistan and Uzbekistan were capable to collect ODS consumption data and report timely reliable data to the Ozone Secretariat according to Article 7 of the Montreal Protocol. The Government of Azerbaijan was not able to provide efficient support to the NOU in tracking ODS consumption and preparing reliable ODS consumption data and was called for discussion of this issue by the Implementation Committee. Partially, it happened because of the absence of effective monitoring or control of the import and distribution of pre-blended HCFC-141b-polyol systems used in the production of foam insulation. Accounting for the HCFC-141b consumpton became a rather new issues for NOUs in CEITs since 2009. The Customs, NOUs and ecological insperctorates need to be trained to track consumption of the pre-blended HCFC-141b at the border entry points and by end-users. The capacity of Customs has to be enhanced to detect HCFCs/blends, and regulatory measures have to be enforced accordingly. In this regard, It is worthwhile to mention the additional assistance that was provided to the four CEITs in undertaking detailed surveys of ODS end–users through the regional MSP "Preparing for HCFC phase-out in CEIT" funded by GEF and implemented by UNDP and UNIDO. This particular project helped a lot in accounting for the consumption of HCFC-141b in CEITs foam sector.

11. In recent years, the CEIT Governments focusing on economic growth relaxed the requirements for enterprises to register when using ODS and reduced the number of all kind of inspections especially on small- and medium-sized businesses, including ecological inspections on the use of ODS by enterprises. These Government policies might introduce additional risks for illegal ODS imports and would require more stringent enforcement of ODS imports control on the borders by customs officers. These measures may also weaken the ability of the government to track and monitor the number of businesses becoming involved in ODS which, in turn, may lead to poor management of ODS refrigerants and increased emissions.

12. The start of the project was delayed by two years in Kazakhstan, Tajikistan, Uzbekistan and three years in Azerbaijan due to a change in UNEP's legal instruments from MOUs to SSFA, internal UNEP reorganization and by a discovery of an unsettled balance in IS project completed seven years ago in 2002 in Azerbaijan. Consequently, project duration in Azerbaijan and Uzbekistan was reduced to 19 and 20 months respectively vs. 30 months planned. So significant delay with the start and subsequent reduction in project duration had a very negative effect on the efficiency of NOUs operation.

13. The combining of the four CEITs into one regional project appears to be questionable because of clear differences in baseline and relevant characteristics in these four countries. The project design would have to be adapted to account for country-specific conditions in order that the commitment and the level of interest are strengthened. To this end, a "sub-project document" for each country should have been developed to incorporate such discrepancies between countries. The management of such a regional project was sometimes burdensome and time consuming.

Rating

14. All the findings have been rated. Different rating scales have been used for rating specific components. Most criteria have been 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 is rated from Highly Likely (HL) down to Highly Unlikely (HU).

15. On each of the dimensions of sustainability of the project outcomes have been rated as follows:
    Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML): There are moderate risks that affect this dimension of sustainability.
Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability
Unlikely (U): There are severe risks that affect this dimension of sustainability.

16. The project as whole was rated as satisfactory. The valuation ratings with the summary of assessment of evaluation criteria are shown in Table 6.

Table 3. Evaluation rating

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project and its results contributed to objectives of the UNEP DTIE OzonAction Programme. The project is part of UNEP Environmental Governance and the Bali Strategic Plan. The project is also consistent with several GEF Strategic Goals	HS
B. Achievement of outputs	The achievement of outputs was assessed for 5 categories of outputs in 4 countries and rated ranging from HS to MU (see Table 4 in the Report).	S
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	The achievement of direct outcomes was assessed for 5 categories of outcomes in 4 countries and rated ranging from HS to MU (see Table 5 in the Report).	MS
2. Likelihood of impact	Intermediate states conceived have feasible direct and explicit forward linkages to impact achievement. Many barriers and assumptions were successfully addressed. The project achieved measurable intermediate impacts in terms of ODS phase out and reduction of emissions through recovery and recycling.	Very likely
3. Achievement of project goal and planned objectives	The achievement of proclaimed goal and objectives is related to achievement of outputs and outcomes. The countries managed to achieve sizable reduction in ODS consumption in 2012, the year immediately after the project ended. The HCFC phase-out strategies were developed by UNDP in Uzbekistan and Tajikistan and by UNIDO in Azerbaijan in conjunction with the NOUs and stakeholders as part of a regional GEF supported project for CEITs. These two key factors determined rating of the overall likelihood of impact achievement as "very likely". This rating allows giving findings that the main project goal was achieved. The overall rating of the achievement of project goal and planned objectives is satisfactory.	S
D. Sustainability and replication		ML
1. Financial	There is very low risk to financial sustainability in Azerbaijan, Tajikistan and Uzbekistan in the short term perspective. In case of Kazakhstan, there are significant risks to the continuation of project results and the eventual impact on reduction in ODS consumption in this country since the request for GEF assistance for HCFC phase out activities is on the very initial stage of consideration because the Beijing amendment is yet to be ratified by the Government	ML

Criterion	Summary Assessment	Rating
2. Socio-political	The Governments of Uzbekistan and Tajikistan fully and timely accepted the international commitments in the Montreal Protocol and its amendments. The Government of Azerbaijan is facing a challenge to reconcile the inconsistency in reported Article 7 data. The Government of Kazakhstan has not ratified the Beijing amendment and, therefore, did not fully accept the international commitments in the Montreal Protocol and its amendments thus posing the socio-political risk to sustain the achieved results.	ML
3. Institutional framework	The institutional framework and governance undertaken by Uzbekistan was assessed as robust. In Tajikistan, the institutional framework and governance is assessed as robust. Quite recently, the government in Kazakhstan did not show adequate commitment to implementing legislation in a timely manner, in order to bring the country into line with control measures applicable to developed countries in the Montreal Protocol. However, there are signs of improvement over the last years. In Azerbaijan, the main challenge is related to a lack of a robust system on collection and reporting of ODS consumption data.	ML
4. Environmental	There are a number of environmental risks such as Illegal trade, suspension of training activities for technicians and ODS recovery/recycling operations, limited adoption of legislation to control ODS, as well as poor management of stockpiled unwanted ODS in four CEITs and methyl bromide used by Kazakhstan reportedly for QPS-uses that, if not controlled, were assessed as likely to undermine the gains in protection of the ozone layer that had been achieved to date. These risks are recognized and will be addressed through the implementation of GEF/UNDP/UNIDO projects. The GEF funding of the methyl bromide project in Kazakhstan is still under discussion and< therefore, the risk still exists. Environmental risks are discussed in Para 165.	ML
5. Catalytic role and replication	All the NOUs emphasized the significance of the project implementation for raising fiscal management skills of NOU personnel. A number of personnel involved are working on other environmental projects supported by the GEF and other international organizations. Other specific examples are in Para 168-170.	S
E. Efficiency	The evaluation assessed the timeliness of project execution which was characterized by a severe delay of about two years. Beneficiary countries provided co-financing (mostly in-kind) amounted to US $56,481.40 making available office space and furniture for NOUs, and delivering municipal and other servicing thus contributing to the project budget. The benefits of previous GEF interventions created continuity and were perfectly visible in Uzbekistan and Tajikistan, to a lesser extent in Kazakhstan and were almost not present in Azerbaijan.	MS
F. Factors affecting project performance		
1. Preparation and readiness	The quality of project design and preparation has been analyzed in Annex 2 to the inception report. The issues that affected project readiness and design include limited project time frames due to long approval processes and delays with start up, over-ambitious project objective relative to the time and budget available, associated unrealistic expectations of GEF/UNEP and unwarranted regional framework of the project.	MU

Criterion	Summary Assessment	Rating
2. Project implementation and management	The country specific results/outputs to be achieved were not clearly articulated in SSFAs in a way that would help to address issues in ratification of MP amendments and non-compliance of Kazakhstan, ODS consumption data reliability in Azerbaijan and potential non-compliance in Tajikistan. The significant delay with the start up and subsequent reduction in project duration had a very negative effect on the efficiency of NOUs operation. Apart from delays in the start up of the project, the NOUs interviewed expressed their satisfaction with UNEP management of the project.	MS
3. Stakeholders participation and public awareness	The NOUs maintained close working contacts mostly with their ministries on environment protection and customs authorities. The effectiveness of public awareness activities was assessed as high.	S
4. Country ownership and motivation (driven-ness)	The country ownership and motivation are related to the performance of respective Governments in providing adequate support to the project execution which was assessed as satisfactory. Three countries acceded to all MP amendments according to schedule.	MS
5. Financial planning and management	The financial planning and management of the project is rated as moderately satisfactory because of one year delay in the start up of the project in Azerbaijan due to unsettled balance from 2002 IS project. There is an ambiguity about the certification of expenditures incurred in association with the last cash advance in Uzbekistan.	MS
6. UNEP supervision and backstopping	NOUs in the four CEITs recognized the level of supervision and backstopping as satisfactory on the part of the Task Manager and Financial Manager. There were no indication to conflicts of interest between project management and project supervision. In Azerbaijan, the problem with unliquidated balance from the initial IS project would have to be identified at the early stage of the financial planning. The situation with non-compliance of Kazakhstan and ratification of MP amendments would have needed early and more forceful approach in resolving these issues with Kazakhstan high ranking officials.	MS
7. Monitoring and evaluation		MS
a. M&E Design	The assessment of M&E project design has been undertaken by the evaluator and reflected in the Inception Report. The quality of the project M&E plan was rated as satisfactory.	S
b. M&E plan implementation	Some specific shortcomings in monitoring and reporting the progress in PIRs are described in Para 205 and 206 of the Report.	MS
Overall project rating	Relevance and effectiveness have been considered as critical criteria in the overall rating of the project.	S

I. INTRODUCTION

1. Having completed or nearly completed their first GEF-funded Ozone Institutional Strengthening (IS) projects, the National Ozone Units (NOUs) of the Article 2 countries of Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan indicated the needs in remaining work to be done in the following areas:- (1) Support and improvement of ODS Import/Export substances as the Montreal Protocol schedule now requires monitoring of hydrofluorocarbons (HCFCs), methyl bromide (MB) and other chemicals due for phase out from 2005 and beyond; (2) attendant to the increased restrictions of the Montreal Protocol, as well as the past operating experience of ODS control mechanisms, there is a need for further legislative and regulatory strengthening of control instruments; (3) the issue of illegal trade is very prominent in the countries, necessitating collaboration with their neighbors, particularly Article 5 producers (such as India and China) which can act as a source of illegal ODS imports; (4) the NOUs are exploring inter-linkages of activities with Climate Change activities (emission reductions), and are exploring cost-effective destruction solutions for unwanted ODS. The NOUs are also needed to execute other ODS control projects in their countries.

2. The project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal protocol" aimed at giving the second phase of support to institutional strengthening and capacity building of the NOUs and stakeholders in Kazakhstan, Tajikistan, Uzbekistan and Azerbaijan, as was anticipated at the approval of the first phase of IS support for these countries. It also sought to leverage other work by UNEP OzonAction in the area of Green Customs and the Article 5 (A-5) Europe and Central Asia (ECA) Network (funded bilaterally and by the Multilateral Fund (MLF) to the Montreal Protocol): this project includes support for these A-2 countries to participate in these broader regional activities. This project intended giving vital co-operational support to the countries for the development and enforcement of national policies and mechanisms able to achieve long-term phase out, monitoring and control of ODS consumption in the countries in the face of ever-increasing phase out restrictions of the Montreal Protocol, including HCFCs.

3. The project was approved by UNEP and subsequently by GEF in February and July 2007 respectively. GEF allocations amounted to US $835,000 with Governments mainly in-kind contributions up to US $108,040. The cost of US $300,000 was also included as co-financing of the project. This cost represented expenses of holding meetings under the Europe and Central Asia (ECA) network organized by UNEP OzoneAction for Article 5 countries in the region within the three years duration of the project and financed by MLF. Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan have been regularly invited to these meetings. GEF allocations covered the cost of their participation for the duration of the project only. The total cost of the project amounted to US $1,243,040.

4. The project was internalized in June 2007 with effective start date of July 2007. The 30 months period was determined as a planned duration of the project. However the start was delayed due to a change in UNEP's legal instruments from MOUs to SSFA. The project started as follows: Azerbaijan –March 2010; Kazakhstan – January 2009; Tajikistan – January 2009; Uzbekistan - November 2009. The actual duration was 19 months in Azerbaijan and Uzbekistan, and 30 months in Kazakhstan and Tajikistan. The geographical scope of the project was national in Kazakhstan, Tajikistan, Uzbekistan and Azerbaijan with some regional level activities. UNEP was the GEF designated Implementing Agency for the project, responsible for overall project supervision and backstopping. UNEP DTIE-OzonAction programme and the National Ozone Units were the Executing Agencies in charge of day-to-day project management, respectively at the regional and national level.

5. The evaluation of the Project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol" has been 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 evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and other partners. Therefore, the evaluation has identified lessons of operational relevance for future project formulation and implementation.

II. THE EVALUATION

A. Objectives of the evaluation

6. In line with the UNEP Evaluation Policy[2] and the UNEP Evaluation Manual[3], the evaluation of the project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol" was focused on the following sets of key questions, based on the project's intended outcomes.

7. To what extent did the project support the development and enforcement of national policies and mechanisms in Kazakhstan, Tajikistan, Uzbekistan and Azerbaijan to:

a. address outstanding phase out;
b. strengthen and improve the controls in place;
c. ensure that ODS phase out is sustained in the long term, as is expected under the Montreal Protocol;
d. To what extent did the project contribute to:
   - The development and implementation of adjustments of regulations for ODS import/export and labeling requirements for ODS and ODS containing-equipment;
   - Enhanced ODS Licensing Mechanisms, with increased scope of elements for monitoring, flexibility (to adjust to changes in the Montreal Protocol Schedule) and cooperation between national players;
   - Enhanced legislative and regulatory support for the ODS Licensing Systems;
   - Provided environment and training of the key stakeholders to enable them monitor status of development and implementation of certification of ODS users, improve coordination and cooperation at the national and regional level on illegal trade of ODS; and
   - Improved coordination and cooperation at the national and regional level on ODS stockpiling and disposal/destruction issues.

(v) Was regional approach used by the project useful in promoting peer to peer learning, support and cooperation in terms of overall management of ODS and project execution?

B. Overall approach and methods

8. The terminal evaluation of the Project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol" has been conducted by an independent consultant, a Russian and English speaker with more than 30 years ODS experience, under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with UNEP DTIE-OzonAction. The evaluation was conducted between mid November 2013 and beginning of March 2014. The evaluation included a desk-based review of relevant available documentation, preparation of the inception report and field visits. An Inception Report was prepared ahead of the country visits to provide a foundation for the evaluation. The Inception Report focused on the following key components: review of the quality of project design; reconstruction of initial theory of

[2] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[3] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx

change (based on the project design); the assessment of the likelihood of impact through Review of Outcomes to Impacts (ROtI); and development of the evaluation process and framework. The National Ozone Units in four CEITs were involved in the planning and the execution of the evaluation.

9. It was an in-depth evaluation using **a participatory approach** whereby key stakeholders were kept informed and consulted throughout the evaluation process. The terms of reference of the evaluation as contained in Annex 1 have been dispatched to the NOUs in advance as well as an evaluation matrix with questions in Russian, grouped by categories of issues and stakeholders involved. The questionnaire with a summary in English is presented in Annex 2.

10. The key approach adopted for the evaluation was the mix both quantitative and qualitative evaluation methods to determine project achievements against the expected outputs, outcomes and impacts. **Qualitative methods** were used during the evaluation preparation for the development and testing of the theory of change in the field visits. A desk review involved project and other documents, including:
    - Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining to phase out, monitoring and control of ODS consumption;
    - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
    - Project reports such as progress and financial reports from NOUs to UNEP; Steering Committee meeting minutes; annual Project Implementation Reviews and relevant correspondence; and
    - Documentation related to project outputs.

11. The second key approach used to improve validity of data was **triangulation** both within and between country surveys. The evaluation established a structured database of secondary data provided by UNEP Evaluation Office and the former project task manager using Dropbox. This database was used in preparation for the fieldwork and also for triangulation with data obtained during country visits. The triangulation was also achieved by covering a range of issues with specific stakeholders, including those in government, NOUs, customs officers, and private operators in the refrigeration servicing sector. The verification of information was not always possible, specifically the evaluator was unable to interview the responsible person from the GEF Secretariat and former UNEP Finnacial Manager due to changes in staff.

12. **Semi-structured interviews** with stakeholders were the primary means of data collection as follows:
    - UNEP project management (DTIE-OzonAction) and Fund Management Officer (Nairobi); other staff as appropriate;
    - Other relevant UNEP Divisions;
    - Relevant staff of GEF Secretariat; and
    - Representatives of other multilateral agencies and other relevant organizations.
    - Members of NOUs and Customs teams
    - Representatives of participating governments
    - Members of Green Customs Initiative and ECA network.

    The interviews were supplemented with secondary data collected during field visits from private sector beneficiaries (brochures, records) and direct observations of private sector facilities. A list of stakeholders consulted and interviewed is provided in Annex 3.

13. **Quantitative methods** were used to conduct internal and external comparisons of ODS consumption data obtained from Ozone Secretariat database. This database is compiled from the annual reports on ODS imports, production and exports submitted by Montreal Protocol parties in accordance with

Article 7 of the Montreal Protocol. As a first step, ODS consumption data were collected focusing on CFCs (Annex A Group 1), HCFCs (Annex C) and Methyl Bromide (Annex E). The reporting years were from 1990 to 2012.

14. Parties that do not report consumption annually are in noncompliance with the requirements of the Montreal Protocol. In such cases, or where there are discrepancies in reporting or if a party has exceeded the ODS consumption limit agreed in the Protocol, the UNEP Ozone Secretariat invites the relevant parties to attend a meeting of the Montreal Protocol's Implementation Committee. The committee aims to reach agreement with the party on a resolution and the time that will be required to achieve compliance. Two of the CEITs under the evaluated project appeared before this committee immediately after receiving GEF funding. The noncompliance decisions resulting from discussions with the Implementation Committee before and after GEF financial assistance were used as one of the measures to demonstrate the value of the GEF support.

C. Limitations

15. The main limitation encountered during the evaluation was incomplete data and documentation in files and electronic data bases kept by some NOUs. The NOUs explained this situation by the time lag of almost three years passed from the completion of the project when rotation of NOU staff happened and some files had been missed. They referred also to the lack of timely notification from UNEP about forthcoming terminal evaluation and requirements of keeping all the relevant records. The files in UNEP headquarters appeared to be incomplete as well due to rotation of personnel at the final stage of the project. The relevant GEF Secretariat staff and former UNEP Financial Manager were not available for interviews and comments on the final report.

III. THE PROJECT

A. Context

1. Historical overview

16. When the Montreal Protocol was adopted by the international community in 1987, the Soviet Union, including all its republics was classified as Article 2 country and, therefore, had to fulfill the same ODS phase out schedule as developed countries. After the dissolution of the Soviet Union in 1990-1991and the collapse of its economy, the fifteen newly formed countries were also classified as A2 countries but had limited financial and technical resources to meet the Montreal Protocol requirements.

17. The countries of Eastern Europe and newly formed post-Soviet Union countries received the status of countries with economy in transition (CEITs). The GEF addressed the issue of ozone depleting substances (ODS) to help CEITs meeting the Montreal Protocol targets by financing institutional strengthening, technology transfer, outreach and training, and programs to phase out ODS through conversion of ODS consuming industrial sectors to non-ODS technology and alternatives.

18. The development of the ODS phase out country programme with commitments of respective governments and ratification of the Montreal Protocol and its London Amendment were prerequisites for receiving assistance from the GEF. Country programmes had been prepared in all participating countries financed by the GEF with assistance from implementing agencies. The GEF channeled its financial support to Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan through UNDP and UNEP. UNDP received GEF investments for: the conversion of manufacturing plants to non-ODS

technology; technology transfer projects in retrofitting ODS equipment and installing new ODS-free equipment; implementing ODS recovery and recycling operations; and providing the appropriate training of technicians. UNEP took responsibilities for strengthening institutional capabilities, including support of National Ozone Units that called for overall co-ordination of the implementation of country programmes and monitoring and control of ODS. UNEP also implemented programmes for training technicians in servicing, maintenance and repair in the refrigeration sector and training of customs officers. All the activities were focused on phasing out CFCs, Halons and methyl bromide in accordance with action plans specifically developed for CEITs by the Implementation Committee and approved by the MoP. The GEF grant to the four CEITs amounted to US $16.5 million. The breakdown of GEF funding is presented in Annex 4. The GEF funded projects were implemented by UNEP/UNDP as follows: Azerbaijan from 1999 to 2002; Kazakhstan from 2000 to 2005; Tajikistan from2001 to 2006; and Uzbekistan from 1999 to 2004. The implementation of these projects was evaluated in 2009-2010.[4]

19. The GEF Council is working in cooperation with the Implementation Committee and the Meeting of Parties of the Montreal Protocol. In 2000, the 12th Meeting of Parties noted with appreciation the assistance given by the GEF to the phase-out of ODS in CEITs, and requested the Facility to clarify its future commitment to providing continued assistance to these countries with respect to all ozone-depleting substances.[5] There were reasons for such a request. In 2000, 13 CEITs were in non-compliance with the Montreal Protocol ODS phase-out schedule exceeding 1996-zero CFC consumption target notwithstanding projects that were on-going in CEITs and supported by the GEF. Furthermore, the 35% reduction target for HCFC consumption in 2004 and zero methyl bromide consumption targets in 2005 were approaching. It took three years for the GEF to formulate its position regarding continuation of the assistance to CEITs. In 2003 at the 15th Meeting of the Parties, GEF confirmed its commitment to continue providing the future assistance for CEITs with respect to all ozone-depleting substances, including methyl bromide and HCFCs.[6] The MP Parties noted that continued institutional strengthening assistance was necessary to ensure the sustainability of the achieved progress by CEITs and essential to comply with their reporting obligations. The Parties urged CEITs that were experiencing difficulty in meeting their obligations under the Protocol to consider working with the implementing agencies to seek assistance for institutional strengthening from the GEF and requested the GEF to consider favorably such applications for assistance, in accordance with its criteria for its capacity-building.[7]

20. On the basis of deliberations at the 15th MP in 2003, Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan requested UNEP to develop the IS continuation project proposal taking into account the list of outstanding needs and activities in order to secure the sustainability of CFC phase out and to initiate actions for HCFC phasing out. It took about four years for the proposal to be prepared. According to the former UNEP Project Task Manager, the GEF Secretariat had difficulties in funding the IS support for CEITs. The GEF had stated a preference to see A-2 non-investment country assistance as temporary, and preferred to focus on larger investment projects that could generate sufficient co-finance, since it felt that these countries were solvent enough to fund their NOUs and

[4] http://www.unep.org/eou/Portals/52/Reports/Final_Report_ODS_Evaluation.pdf
[5] http://ozone.unep.org/Publications/MP_Handbook/Section_2_Decisions/Other_Decisions/decs-Global_Environment_Facility/Decision_XII-14.shtml
[6] http://ozone.unep.org/Publications/MP_Handbook/Section_2_Decisions/Other_Decisions/decs-Global_Environment_Facility/Decision_XV-50.shtml
[7] http://ozone.unep.org/Publications/MP_Handbook/Section_2_Decisions/Other_Decisions/decs-Global_Environment_Facility/Decision_XV-51.shtml

project oversight from core government budgets. However, the argument was made that without a NOU structure to manage Ozone issues, they couldn't have national investment projects on the ground. In the end, IS support, albeit much reduced, was conceded to the countries, and only through a regional project modality.The consultant and UNEP Evaluation Office attempted to validate this information with the GEF Secretariat, but it twas not possible because of changes in staff and time elapsed since the project closed.

21. The project was approved by UNEP and subsequently by GEF in February and July 2007 respectively. GEF allocations amounted to US $835,000 with Governments mainly in-kind contributions up to US $108,040. The cost of US $300,000 was also included as co-financing of the project. This cost represented expenses of holding meetings under the Europe and Central Asia (ECA) network organized by UNEP OzoneAction for Article 5 countries in the region within the three years duration of the project and financed by MLF. The total cost of the project amounted to US $1,243,040.

22. The project was internalized in UNEP with effective start date of July 2007. The 30 months period was determined as a planned duration of the project. However the start was delayed by two years in Kazakhstan, Tajikistan, Uzbekistan and three years in Azerbaijan due to a change in UNEP's legal instruments from MOUs to SSFA, internal UNEP reorganization, and discovered unsettled balance of GEF funds for the initial IS project in Azerbaijan that was completed in 2002. Consequently, duration in Azerbaijan and Uzbekistan was reduced to 19 and 20 months respectively vs. 30 months planned. The project was approved as a regional umbrella project. However, the geographical scope of the project was national in the four countries with some regional level activities. UNEP-GEF and UNEP DTIE-OzonAction acted as designated Implementing Agency for the project, responsible for overall project supervision and backstopping. The National Ozone Units were the Executing Agencies in charge of day-to-day project management, respectively at the regional and national level.

23. There happened to be a big gap between the end of the original IS projects and the start of the continuation of the IS support ranging from 2 years (24 months) in Tajikistan to more than 7 years (87 months) in Azerbaijan. The table in Annex 5 demonstrates the IS continuation project implementation schedule vis-à-vis the initial IS projects and dynamics in ODS consumption in the four CEITs. This gap caused a negative impact on the compliance of CEITs in question. Thus, Azerbaijan was in non-compliance with CFC zero consumption targets for three years (2003 to 2005) followed the end of the GEF project in 2002. In 2005, Azerbaijan reported to the XVII Meeting of Parties that the country had lack of expertise in the tracking of ODS and, therefore, was unable to enforce its CFC import ban. Azerbaijan informed the Parties that the country was seeking further assistance from GEF through UNEP to address the situation. In light of Azerbaijan's recurrent inability to return to compliance with the Montreal Protocol, the MP Parties requested exporting Parties to cease export of CFCs to Azerbaijan.[8]

24. The 2005 ODS consumption data served as a basis in formulating objectives and proposed activities of the project. However, the presentation of the 2005 ODS consumption data as a starting point and anticipated trend in the project documents was not accurate. The project document characterized the non-compliance as "past instances". It was not the case in Azerbaijan with its non-compliance in 2005 as described in Para 23 above. The 2005 HCFC consumption in Kazakhstan was in excess of

[8] http://ozone.unep.org/Publications/MP_Handbook/Section_2_Decisions/Article_8/decs-non-compliance/Decision_XVII-26.shtml

2004 target by 14.3 ODP tonnes. Technically, Kazakhstan was in compliance since the country had not ratified Copenhagen as well as Beijing amendments. However, the threatening situation with the excessive level of HCFC consumption was not emphasized and properly addressed in the project document and SSFA. The assessment of the quality of project design is presented in the matrix in Annex 6.

25. The Montreal Adjustment on HCFC Production and Consumption adopted at the 19th MOP, which came into force in mid-2008, accelerated not only the HCFC phase-out schedules for Article 5 countries but also for Article 2 Parties whose allowable levels in 2010 for both HCFC production and consumption were reduced from 35% to 25% of the baseline with the levels by 2015 remaining unchanged at 10%. At the same time Parties were encouraged to promote selection of alternatives that minimize environmental impacts in particular impacts on climate, as well as meeting other health, safety and economic considerations. As a result, CEITs participating in the project had to assume commitments to reduce their HCFC consumption by 75% by the end of the project in order to be in compliance with the Montreal Protocol. The project document was formulated prior to adoption of the Montreal Adjustment.

26. New more stringent requirements in HCFC phase schedule were not clearly reflected in the objectives of the project document and subsequent individual SSFAs. There was no critical analysis of ODS consumption in light of forthcoming ODS phase out targets. There were no attempts either to introduce changes to update the project design to new realities during the project approval and implementation process. These shortcomings have been taken into account in rating of the quality of project design in Annex 6.

27. In this perspective, the thorough analysis of HCFC consumption, its predicted trend and HCFC phase out targets would have to be critically important at the initial stage of the project implementation in 2009. Table 1 shows 2009 HCFC consumption in the context of MP phase out targets for four CEITs.

Table 4. HCFC and MeBr consumption and Montreal Protocol phase out targets (in ODP Tonnes)

Country	2004 HCFC 35% Reduction Target	2004	2005	2006	2007	2008	2009	2010 HCFC 75% Reduction Target	2010	2011	2012	Baseline	2012 Level of Reduction %
Azerbaijan	**9.68**	0	0	0.9	0.8	0.8	3.5	**3.72**	0.3	7.63	3.52	14.9	**76**
Kazakhstan	**25.67**	34.3	40	60.1	60.9	62.8	63	**9.87**	110	90.75	21.56	39.5	**45**
*Kazakhstan (MeBr)***		*0*	*0*	*19.8*	*60*	*66*	*67.2*		*0*	*6*	*0*		**100**
Tajikistan	**3.9**	3.1	3.5	3.6	3.8	3.9	2.6	**(1.5*) 4.67**	2.8	2.9	2.9	(6.0*)18.7	**84**
Uzbekistan	**48.5**	1.8	3.5	3.8	0.1	2.3	1.8	**18.6**	0.9	4.14	2.44	74.7	**96**
Total		**65.5**	**68.9**	**88.2**	**125.6**	**135.8**	**138.1**		**114**	**105.4**	**30.35**		

* In 2011, MOP 23 decided to revise HCFC baseline in Tajikistan (Dec. XXIII/28) from 6.0 to 18.7 ODP tonnes.
** According to the Copenhagen Amendments A2 countries should complete the phase out the controlled uses of Methyl Bromide by 2005.
Values in red are in excess of ODS reduction targets.
Squares in grey cover the duration of the IS continuation project.

28. In 2005, Azerbaijan reported to the XVII Meeting of Parties that the country had lack of expertise in the tracking of ODS and, therefore, was unable to enforce its CFC import ban. The analysis of data in Table 1 demonstrated that HCFC consumption data reported by Azerbaijan after 2005 were greatly

inconsistent that indicated to a potential persistent problem in reliability of collected and reported ODS data. 2005 and 2009 HCFC consumption in Tajikistan was dangerously close to non-complance with the forthcoming 75% reduction target in 2010 (Tajikistan managed to change its HCFC baseline in 2011 avoiding non-compliance). 2005 and 2009 HCFC consumption in Kazakhstan was in excess of 2004 and 2010 reduction targets. Kazakhstan had not ratified the Copenhagen and the Beijing amendments by the time of the project start up. Azerbaijan was not Party to the Beijing Amendment as well. It appears that all the identified issues would have to be in the focus of the IS project activities.

29. Kazakhstan was also in non-compliance with methyl bromide phase out targets in 2006 to 2011. Based on the results of the assessment of methyl bromide consumption, conducted by UNIDO and local experts, MeBr is used in Kazakhstan to fumigate soils in intensive agriculture, in commodities and in structures. In 2007, a total consumption based on the survey was 173 ODS tonnes (103.9 ODP tonnes) which included Quarantine and Pre-shipment *(*QPS) uses which are not restricted by the Montreal Protocol. The Ozone Secretariat declared consumption of 60 ODP tonnes as restricted uses in that year. The official data of MeBr consumption reported to the Ozone Secretariat in 2009, 2010 and 2011 were 67.2 ODP tonnes, zero ODP tonnes and 6 ODP tonnes respectively. The inconsistency of these data cast doubts on the reliability of MeBr data collection and reporting process. Zero consumption reported in 2012 might be misleading. Methyl bromide is mainly used for soil fumigation, and the implementation of alternate technologies requires a long period of time due to agricultural cycles and the need for tailor-made solutions. UNIDO prepared and submitted PIF "Introduction of ODS alternatives in agriculture and in post-harvest sector in Kazakhstan" to GEF Secretariat in April 2012. The overall objective of the project is to introduce methyl bromide alternatives and enhance sustainable total phase-out, with the exception of quantities used for Quarantine and Pre-Shipment fumigation and for feedstock applications. The UNIDO proposal has not moved, however, because Kazakhstan had not ratified Beijing amendment. Failure to address the issue of MeBr restricted uses through the introduction of available alternatives might put the Government of Kazakhstan in serious risk of non-compliance.

2. Other GEF funded activities in CEITs

30. In March 2008, UNDP with UNIDO as one of four implementing agencies (UNDP, UNEP, UNIDO and the World Bank) submitted the regional medium-sized (MSP) project proposal: "Preparing for HCFC phase-out in CEITs: needs, benefits and potential synergies with other MEAs" for GEF funding at the level of US$745,000. The proposal covered seven countries eligible to participate in the regional MSP (Azerbaijan, Belarus, Kazakhstan, Russian Federation, Tajikistan, Ukraine and Uzbekistan). The MSP was in response to the implications to the obligations incurred by CEITs under the phase-out schedule for HCFCs of the Montreal Protocol as amended by the Montreal Adjustment on HCFC Production and Consumption adopted at the 19th MOP which came into force in mid-2008. The project's primary goal is to develop country strategy outlines for HCFC phase out based on in-depth surveys of HCFC consumption and where applicable production, in eligible Article 2 countries with economies in transition (CEITs) in Europe and Central Asia, including four CEITs participating in IS continuation project. The project was to identify needs for further activities to assist these countries to remain in or attain compliance with their Montreal Protocol obligations, particularly noting the accelerated HCFC phase out requirements adopted by MOP.

31. The primary output was to develop National Strategy outlines for phase-out of HCFCs in the participating CEITs: UNDP in Belarus, Tajikistan, Ukraine and Uzbekistan; and UNIDO in Azerbaijan, Kazakhstan and Russian Federation. This involved inventorying sources of imports and

end users, followed by survey at the sector, enterprise/end user levels, country-specific assessment and analysis of phase-out options that could form the basis of cost-estimated HCFC phase-out strategy. Specific areas in these National Strategy Outlines include i) development of more effective capacity for trade and licensing control for HCFCs and HCFC containing equipment; ii) ensuring consistent reporting of HCFC import, export, production and consumption information; iii) development of GWP technologies and techniques; and v) identification and basic preparation of prioritized phase out investments required to sustain phase out obligations in the longer term. Having recognized the interdependence of national initiatives, this part of the project should also develop appropriate regional linkages that will facilitate mutual support of phase out efforts, including fostering networks that will share import and export data, and provide for interaction of scientific and technical capacity.

32. The GEF funds were allocated to the four CEITs as follows: Azerbaijan US $37,500, Kazakhstan US $60,000, Tajikistan US $25,000 and Uzbekistan US $30,000. In total the MSP funding for these four CEITs amounted to US $152,000 representing 22% of the GEF IS sub-project country allocations.

33. The Regional Medium-Sized Project (MSP) for Countries with Economies in Transition (CEITs) was implemented from July 2008 to June 2011 with UNDP and UNIDO as lead Implementing Agencies. The project was evaluated in May 2013. The evaluation report is available at UNDP site[9]. The duration of MSP coincided with the implementation of the continued IS project in Azerbaijan, Kazakhstan, Tajikistan, and Uzbekistan. There was a great deal of synergy in these two projects. Some of outcomes of the MSP overlap with those in the continued IS project. The following direct outcomes were identified in the evaluation report that are attributed to the MSP:
    - UNDP completed of HCFC phase out strategies for four CEITs, including Tajikistan and Uzbekistan, and preparation of Full Scale Project (FSP) under the title "Initial Implementation of Accelerated HCFC Phase-Out in the CEIT Region" which covers Tajikistan and Uzbekistan. The project was approved in late August 2012, started in March 2013 and will end in June 2015.
    - UNIDO assisted the Government of Azerbaijan to prepare a PIF for consideration of GEF for Azerbaijan to strengthen its institutional capacity and phase out its HCFC consumption in the foam and refrigeration sectors. UNIDO provided technical assistance to identify the sources and accurately assess its current level of HCFC consumption.
    - Technical Assistance was provided to the Government of Tajikistan to resolve its erroneous HCFC baseline level which arose out of miscalculation of its HCFC consumption following the breakup of the USSR. As a result of presentations made at the Implementation Committee, MOP 23 decided to revise its baseline (Dec. XXIII/28) from 6.0 to 18.7 ODP tonnes, thus avoiding potential non-compliance situation.
    - At the time that MSP project proposal was approved in 2008, Kazakhstan had not ratified the Copenhagen and Beijing Amendments. During the data survey and strategy outline development UNIDO provided technical assistance to the Government of Kazakhstan to expedite the process of ratification of the Amendments. Kazakhstan ratified the Copenhagen and Montreal Amendments on 28 June 2011.
    - Required inventory data was collected by each participating country, including annual consumption and sector/end-user consumption. The collected data served as a basis for reporting reliable consumption data to the Ozone Secretariat. Azerbaijan and Kazakhstan were in non-compliance in 2011.

[9] https://erc.undp.org/evaluationadmin/downloaddocument.html?docid...%E2%80%8E

34. The preparation of FSP for Tajikistan and Uzbekistan by UNDP and PIF for Azerbaijan required a thorough analysis of compliance prospects using HCFC consumption data collected. Trends in HCFC and HFC imports and consumption were analyzed, and HCFC consumption growth scenarios along with the control measures were devised that formed the basis for formulation of policies on HCFC controls. Relevant recommendations for facilitating the reduction in HCFC imports through initiating advance formulation of HCFC control measures were formulated by the project teams and submitted to respective Governments. All these activities appear to be complimentary or a replication of Sub-activity (i) under Activities 2, 4, 5 and 6 of the IS continuation project as outlined in Paragraph 65 below.

3. Status of NOUs at the starting point of the project

35. The continued IS project was to provide the second phase of support to institutional strengthening and capacity building of the NOUs and stakeholders in four CEITs. To great extent, the project hinges upon the results of the first phase of IS support for these countries when NOUs were created and connections with stakeholders were established. The set up, position and status of NOUs in four CEITs were substantially different at the starting point of the project on the continuation of IS support. The important factor was the scope of the initial GEF support, the timeframe of its implementation and the gap between the end of the initial GEF projects and the start up of the GEF continuation of IS support in these countries. In February-March 2009, the UNEP Evaluation Office conducted the terminal evaluation of ODS phase projects supported by GEF in CEITs, including Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan. The UNEP EO terminal evaluation just preceded the start up of the GEF continuation of IS support in the four CEITs, and therefore can serve as a reliable source of the information related to CEIT NOUs status and their activities in that time. [10] The GEF funding and co-financing resources provided by CEIT governments for CFC phasing out in Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan are presented in Annex 4.

B. Objectives and components

36. The project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol by Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan" came as a transition from GEF-3 to GEF-4 financial cycle to assist eligible countries in meeting their obligations under the Montreal Protocol through strengthening capabilities and institutions in those countries that still having difficulties in ensuring the sustainability of CFC and methyl bromide phase out and meeting their reporting requirements. The needs expressed by the four countries included activities addressing forthcoming reporting and control measures regarding HCFCs on the national and regional levels as well as reduction of ODS emissions in the context of climate change issues.

37. The activities and sub-activities on the national level (Activities 1 to 6) and regional level (Activities 7) have been outlined in the approved project document as follows:

Activity 1: Continuation of the Ozone Office

Sub-activity (i): Establishment of a new work plan elaborating any additional roles of the ozone office in the face of new requirements of the Montreal Protocol

[10] http://www.unep.org/eou/Portals/52/Reports/Final_Report_ODS_Evaluation.pdf

(a) Administer, coordinate and supervise implementation of the Institutional Strengthening Project and any additional activities that support the implementation of the Montreal Protocol, and report on their progress;
(b) Coordinate the relevant inter-ministerial and inter-sectoral activities;
(c) Initiate and coordinate the preparation of relevant legislative acts;
(d) Continue to raise awareness on Ozone issues and the available technical solutions, legal controls etc.
(e) Collect, analyze and distribute information on alternatives substances, technologies;
(f) Provide guidance to stakeholders on handling of ODS;
(g) Follow-up and evaluate the compliance of the phase out schedule;

Sub-activity (ii): Recruitment where necessary of staff and expertise, procurement of equipment.

Sub-activity (iii): Development of modalities to incorporate NOU functions into the government institutional framework for the long-term.

Activity 2: Legislative Measures for Phase Out of ODS

Sub-activity (i): Relevant review, improvements and adjustments of national phase out schedules and sector-specific restrictions;

Sub-activity (ii): Relevant review, improvements and adjustment of regulations on ODS import/export restrictions, quota system and the overall licensing system;

Sub-activity (iii): Relevant review, improvements and adjustments of labeling requirements for ODS and ODS containing-equipment;

Sub-activity (iv): Further elaboration of an ODS emission regulations;

Sub-activity (v): Establishment of a system/ completion of certification of refrigeration technicians and other users of ODS;

Activity 3: Public Awareness Programmes

Sub-activity (i): Prepare campaigns in the print and electronic media as necessary on ozone issues, particularly to highlight any enhanced controls on ODS use;

Activity 4: Data and Information Collection on ODS Use and Consumption

Sub-activity (i): Data collection, processing and analysis on ODS consumption;

Sub-activity (ii): Data collection, processing and analysis on recovered and recycled CFCs and HCFCs;

Sub-activity (iii): Where it occurs, data collection on stockpiled and destroyed ODS;

Activity 5: Overall Coordination and Monitoring of National Phase out Plan

Sub-activity (i): Identify, formulate and monitor any further projects required to achieve final ODS phase out, whether at the national or regional level;

Sub-activity (ii): Cooperation in the field with Customs in the control of ODS import/export;

Sub-activity (iii): Collection, distribution and systemization of information on alternative ODS and ODS destruction technologies;

Activity 6: Reporting

Sub-activity (i): Submission of annual report on ODS consumption to Ozone Secretariat;

Sub-activity (ii): Submission of progress and expenditure reports on the implementation of the IS projects, and any other ODS projects being carried out in the country.

Activity 7: Coordination on long-term sustaining of NOU function, Illegal trade, ODS destruction and other transboundary issues

Sub-activity (i): Coordination within the framework of the Network for Eastern Europe and Central Asia (ECA);
Sub-activity (ii): Coordination under the Green Customs Programme.

C. Target areas/groups

38. The target areas of the project mainly reflect activities as listed in Paragraph 32 above. The target areas involve different stakeholders and players at the national, regional and international level. Table 2 demonstrates involvement of national, regional and international institutions, groups and players in target areas of the project. A great deal of activities have been undertaken by UNDP and UNIDO in the four CEITs in parallel with the IS project within the framework of the implementation of the GEF funded MSP as referred to in Paragraphs 32 to 35 above. However, interaction with UNDP and UNIDO is not fully reflected in PIRs and practically not mentioned in HYPRs.

Table 5. Target areas and institutions and groups involved

No	Target area	Institutions and groups
1	Continuation of the Ozone Office	National ozone office; members of National Steering Committee; International Steering Committee, UNEP Ozone Secretariat; UNEP GEF; UNEP DTIE; industrial enterprises in private sector; educational institutions;
2	Legislative measures for phase out of ODS	National ozone office; National parliament; members of National Steering Committee; industrial enterprises in private sector;
3	Public awareness programmes	National ozone office; members of National Steering Committee; NGOs; mass media; educational institutions; public organizations;
4	Data and information collection on ODS use and consumption and reporting	National ozone office; members of National Steering Committee; industrial enterprises in private sector UNEP Ozone Secretariat; Montreal Protocol Implementation Committee;
5	Overall coordination and monitoring of national phase out plan on national and regional levels	National ozone office; members of National Steering Committee; International Steering Committee; UNDP; UNIDO; UNEP OzoneAction, Green Customs; RILO

D. Milestones/key dates in project design and implementation

39. Neither the project logframe nor 2007-2010 project implementation timelines (PIT) reflect the timeframe for the implementation of planned activities and achievement of expected outcomes. PIT indicates the M&E tools and respective M&E activities timelines. The PIT became not very relevant due to the seriously delayed start of the project and subsequently compressed duration of the project, which was reduced in Azerbaijan and Uzbekistan to 19 and 20 months respectively vs. 30 months planned. The lack of benchmarks and timelines was rectified at the later stage in work plans formulated by NOUs themselves in SSFAs and HYPRs taking into account available timeframe, their local priorities and existing capabilities.

E. Implementation arrangements

1. Implementation approaches and management framework

40. UNEP/DTIE was responsible for the implementation of the project in accordance with the objectives and activities outlined in Section B above. UNEP/DTIE, as the GEF Implementing Agency, was responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures, and provided guidance on linkages with related UNEP and GEF-funded activities. The UNEP/DGEF Co-ordination monitored implementation of the activities undertaken during the execution of the project. The UNEP/DGEF Co-ordination was responsible for clearance and transmission of financial and progress reports to the Global Environment Facility.

41. The former UNEP DTIE task manager of the project explained the difficulties in starting the activities on the ground with the changes in UNEP's legal instruments, namely the switch from MOUs to SSFAs after the Task Manager and FMO had sent draft MoUs to the countries. The MoUs were undergoing a lengthy legal review in the countries when the change came in, and UNEP legal office refused to permit the MOU approach to stand. The whole process had to begin again using SSFAs which had to go back through the countries' legal machinery. This took even longer as countries were unfamiliar with SSFAs. The NOUs confirmed that the SSFAs format contained additional requirements that had to be agreed with all stakeholders involved. In Azerbaijan, the start of the project was delayed by a further year because of an unsettled balance from the initial IS project that was closed in 2002, bringing the total delay to three years. It is difficult for the evaluator, however, to track the lengthy project preparation, approval and start of implementation process within the GEF and UNEP bureaucracy and identify the key reasons for such a protracted delay.

42. SSFAs for the countries were developed out of the umbrella project and all financial and progress reports were communicated by the NOUs to the Task Manager and Fund Management Officer, who in turn carried out overall half-yearly reporting, processing of cash advances and reconciliation of expenditure reporting, PIRs and the like for the umbrella project. The Task Manager was also responsible for working with the Evaluation and Oversight team of UNEP and the Portfolio Management Team of UNEP DGEF, to coordinate project evaluations and monitoring.

43. National activities were executed by the NOUs. For the regional component, assistance was provided from the relevant MLF-funded regional activities under the OzonAction ECA and Green Customs programmes. The project assigned the role of the Executing Agency to NOUs in cooperation with national steering committees. UNEP DTIE TM and DGEF FM with the support of the international steering committee played a supervisory role. The project was formulated within a regional framework. SSFA included the standard list of activities to be carried out with the support of the small scale funding for all four countries as presented in Para 66 above. However, the SSFA format provided opportunity to reflect individual priorities of participating countries through the preparation of national work plans with individual timelines. Most national work plans did not include the complete list of activities incorporated in the standard list. A number of activities included in the list were beyond the capabilities of some NOUs.

44. HYPRs reported on the implementation of national work plans and were used as a major monitoring tool and the basis for formulating the 2008, 2009 and 2010 PIRs, prepared by Task Manager and Financial Manager and submitted to the GEF Secretariat. The established management framework has been followed throughout the project duration and ensured the delivery of project outputs and outcomes to the extent possible, given the limitations in some NOU capabilities. It should be mentioned that the 2008 PIR was not of much value since the start of project activities was shifted to

2009. The 2011 PIR was not prepared though project activities continued until October 2011 and relevant reports were provided by NOUs to the TM.

45. The major drawback in the implementation arrangements was the inability of the project to adapt to occurring changes. In Kazakhstan, two important issues were not identified and recognized as a priority in the project design: i) de facto non-compliance with HCFC phase out schedule; and ii) urgency in ratification of Copenhagen, Montreal and Beijing amendments. The meeting of GEF-funded Countries to advance the regional projects "Continued Institutional Strengthening Support for CEITs to meet the Obligations of the Montreal Protocol" and "Preparing for HCFC Phase Out in CEITs: needs, benefits and potential synergies with other MEAs" was held on 30-31 March 2009 in Paris, France. This meeting was considered as the first international steering committee meeting. It was pointed out that Kazakhstan had the highest per capita reported consumption, and had not yet acceded the Copenhagen amendment, lowering its standing in terms of readiness for total ODS phase out. The NOU for Kazakhstan responded that they were working on this since these ratifications were necessary for them to receive investment funding from the GEF. These issues could be addressed further in the course of implementation by incorporating additional items in SSFA and the national work plan for Kazakhstan with a definite timeline. The importance of this issue warranted a visit of TM and FMO to Kazakhstan and a meeting with top officials in the Ministry of Environment Protection. These actions were not taken. As a result, currently Kazakhstan is in a difficult situation: the country is officially recognized in non-compliance; GEF HCFC phase out project is suspended; several HCFC supplying countries stopped its export pending the ratification of the Beijing amendment by Kazakhstan.

46. In March 2008, the GEF approved the regional MSP "Preparing for HCFC phase-out in CEITs: needs, benefits and potential synergies with other MEAs" to be implemented by UNDP and UNIDO. The project's primary goal was to develop country strategy outlines for HCFC phase out based on in-depth surveys of HCFC consumption and, where applicable, production, in eligible Article 2 CEITs in Europe and Central Asia (specifically Azerbaijan, Belarus, Kazakhstan, the Russian Federation, Tajikistan, Uzbekistan and Ukraine). These would identify needs for further activities to assist these countries to remain in or attain compliance with their Montreal Protocol obligations, particularly noting the accelerated HCFC phase out requirements adopted by MOP XIX. The national strategy outlines should be based on factual current data from surveys. Specific areas in these national strategy outlines included activities as follows: i) development of more effective capacity for trade and licensing control for HCFCs and HCFC containing equipment; ii) ensuring consistent reporting of HCFC import, export, production and consumption information; iii) development of low GWP technologies and techniques; and v) identification and basic preparation of prioritized phase out investments required to sustain phase out obligations in the longer term. These outlined activities correlated closely with activities delineated in the IS continuation project as listed in Paragraph 65 above. The NOUs in Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan actively participated in the implementation of the GEF MSP.

47. It was surprising to see no references in the HYPRs on coordination of UNEP and NOUs activities with UNDP and UNIDO, which have been working in parallel on similar issues in the same countries. There were references in the 2009 and 2010 PIR to CEITs engagement in HCFC survey work with UNDP and UNIDO and formulation of follow-on projects without proper assessment of synergy and linkage of these activities with the IS project objectives.

2. The interaction of NOU with members of national steering committee and higher level authorities

48. The interaction of NOUs with members of national steering committee and higher level authorities was not equally productive in the four CEITs and hinged on the NOU status in a particular country. The influence and the level of communication between NOU and specific government department depended to a great extent on the standing of NOU in the government hierarchy and personal authority of the head of NOU. The NOU in ***Uzbekistan*** is part of the Department of the Atmosphere and Air Protection (DAAP) within the State Committee for Nature Protection (SCNP). The head of DAAP is also the head of the NOU. The status of the NOU facilitated establishing a good line of communication with the Cabinet of Ministers and the Parliament resulting in ratification of all Montreal Amendments as early as in 1998. The position of the NOU is essential in involving the Ecologic Inspectorate into activities on effective enforcement of national regulations on ODS control.

49. In ***Tajikistan***, the National Ozone Unit (NOU) was established in the Ministry of Protection of Natural Resources (MNRR). The former Deputy Minister of MNRP was appointed as the head of NOU. The activities of the NOU had a well-defined place in the national administration and access to the key decision-makers, including enforcement agencies. Tajikistan acceded the Copenhagen, Montreal and Beijing amendments in May 2009. The NOU established a close cooperation with the Ecological Inspectorate. The NOU, with the assistance of the director of a leading refrigeration servicing company who occupied the position of the deputy of the head of NOU, established the Refrigeration Association, which is actively involved in retraining of refrigeration servicing personnel.

50. In ***Azerbaijan,*** the NOU is part of the Climate Change and Ozone Centre (CCOC) which was established within the National Hydrometeorological Department of the Ministry of Ecology and Natural Resources. Notwithstanding the fact that the Ozone division has four positions, the NOU cannot be characterized as effectively functioning unit. The activities under the project have been implemented by outside consultants funded from the project, including promotion of the ratification of the Beijing Amendment that took place in August 2012. Currently, only one position out of four is occupied. Azerbaijan had a problem in enforcing the HCFC licensing and quota system in 2011 when the country was recognized to be in non-compliance with the HCFC phase out schedule. The country returned to compliance in 2012 but acknowledged the existing lack of expertise in the tracking of HCFC trade and accounting of ODS consumption by end-users.

51. In ***Kazakhstan***, the NOU was established within the Climate Change Coordination Centre (CCCC) in June 2002 as an agency independent of the Government. The Government authorized the Ministry of Natural Resources and Environmental Protection (MNREP) to coordinate activities on the ODS phase-out in cooperation with the CCCC. There was an agreement between the CCCC and MNREP by which the CCCC implemented the IS support project in Kazakhstan. The Director of the CCCC was the manager of the project and coordinated the activities within the NOU. The CCCC is funded through commercial contracts with clients and by grants received from international donors. The CCCC had to compete with the other agencies in Kazakhstan to take on work contracted by MNREP and other clients through the bidding process. Accordingly, the status of CCCC is such that the access to the key decision-makers, including enforcement agencies is limited. The CCCC is playing an advisory role in communicating with MNREP. Thus, the proposal to ratify the Copenhagen and Montreal Amendments was passed on to MNREP as early as in 2003. These two amendments were ratified in June 2011. The ratification of the Beijing Amendment is pending with the consequences described in Para 71 above. The limitations in the status of NOU and the level of access to decision makers prevented CCCC from implementing activities outlined in the project document and SSFA such as: development of modalities to incorporate NOU functions into the government institutional

framework for the long-term; improvements and adjustments of labeling requirements for ODS and ODS containing-equipment. In the absence of mandatory control of HCFCs prior to 2012, it was not possible to undertake relevant review, improvements and adjustment of regulations on HCFC quota system restricting imports; further elaboration of ODS emission regulations; establishment of a system of certification of refrigeration technicians and other users of ODS in addition to licenses allowing work with ODS which was in place. Currently, there are no personnel in CCCC fully dedicated to ozone issues.

3. Response to directions and guidance

52. The NOUs responsible for the implementation of the project were in contact with UNEP TM and UNEP/GEF FMO and followed closely their directions and guidance. The direction and guidance was provided through regular review of HYPRs and financial reports. The evidence of the direction and guidance has been traced in reviewing the correspondence between TM and FM and from minutes of the meeting of the international steering committee. The interactions of NOUs with national steering committees (NSC) have not been documented. The NOUs explained that they preferred to interact with individual members of NSCs on specific issues since it was difficult to organize meetings of the NSC as a whole.

4. Operational and political / institutional problems and constraints

53. The Government commitment to adopt and implement the necessary legislation in a timely manner is a key for the country to meet Montreal Protocol ODS phase out targets. The introduction of HCFC quota system was not equally successful in the four CEITs. The HCFC import quota legislation was introduced as follows: Azerbaijan - in 2004: Kazakhstan - in 2012; Uzbekistan in 2005, Tajikistan is still pending. The efficiency of quota legislation, however, depends very much on enforcement measures that presume the establishment of strict customs control on the border and in-land check-ups of ODS importers and end-users involving ecological inspectorate. Currently, all the four CEIT Governments pursue economy growth policy by stimulating private business activities, including small and medium-sized enterprises through alleviating to a great extent government control and reducing the number and frequency of mandatory check-ups at the enterprise level. Under these circumstances, NOUs have to work closely with government regulators defending the notion of strict ODS control, including environmental inspections. The governments in turn needs to show understanding of the ODS control requirements.

54. The salaries of government employees (i.e. NOU staff in Azerbaijan, Tajikistan and Uzbekistan) are low or very low. The NOU in Kazakhstan is part of a non-governmental agency. There is a lack of government commitments in motivating (in monetary terms) the staff of NOUs in Azerbaijan and Tajikistan, thus maintaining its continuity and the necessary level of competence. In Uzbekistan, an effective system of incentives is introduced where proceeds from environmental fees and ODS permits have been used to stimulate the NOU staff.

55. The Government motivation to integrate activities of NOUs into the environmental governance system of the country was not demonstrated equally well in four CEITs. In Uzbekistan, the NOU being the part of the Department of the Atmosphere and Air Protection (DAAP) is fully integrated into the structure of the State Committee for Nature Protection (SCNP). The activities on the implementation of requirements of the Montreal Protocol are an essential part of operational plans of the DAAP and SCNP as a whole. The NOU in Tajikistan established close connections with the Ministry of Protection of Natural Resources during the implementation of the project. However, these relationships drastically changed in 2011 when the experienced staff of NOU was completely

replaced with newcomers by a newly appointed minister. Currently, there is no NOU staff member who can meaningfully handle Montreal Protocol related issues. After the 2013 presidential elections, a new government was appointed. The evaluator met the new MPNR Minister who assured that the role of the NOU will be elevated and displaced NOU staff will be restored. In Azerbaijan, the NOU is virtually dysfunctional and disconnected from activities of ecological inspectorate and other departments of the Ministry of Ecology and Natural Resources. The Climate Change Coordination Centre (CCCC), a commercial organization, assumed the functions of the NOU in Kazakhstan and provides advisory services to the Ministry of Natural Resources and Environmental Protection (MNREP) on the-case-by-case basis. MNREP outsources activities required from the Government by the Montreal Protocol to CCCC and not very closely engaged in handling ozone related issues.

56. The system of vocational education and training of refrigeration servicing technicians ceased to exist in CEITs since the USSR breakdown. Currently, a big number of inadequately trained refrigeration servicing personnel is present on the work market in CEITs, posing problems in controlling ODS emissions in the process of repair and maintenance of refrigeration and AC equipment. There is a lack of commitments from CEIT governments to restore the system of training and retraining of refrigeration servicing personnel and consequently promote the mandatory certification of these technicians.

57. On the issue of Customs border control, CEIT governments state that they are committed and motivated but this has not yet been translated into sufficiently effective actions. The level of illicit trade of controlled ODS is still high in CEITs. The governments need to put more serious efforts in training customs and border control personnel and providing the necessary ODS identifiers.

58. The project provided financial resources to pay a salary to NOU personnel involved in the implementation of activities outlined in the project. In Azerbaijan, however, the allocated resources were paid to consultants not to the NOU personnel thus reducing its sustainability. Under the project, the training workshops were organized for representatives of refrigeration and AC enterprises and customs officers. These arrangements, however, could not replace more systematic training programmes organized by CEIT governments.

5. GEF environmental and social safeguards requirements

59. The GEF Strategic Goals call for the reduction of global climate change risks by stabilizing atmospheric GHG concentrations through emission reduction actions and the promotion of sound management of chemicals ODS in particular, throughout their life cycle to minimize the effect on human health and global environments. The prime objective of the project is to phase out ODS that harmfully affect the ozone layer and have adverse effect on the climate system. The geophysical observations indicate to the stabilization of the ozone concentration in the stratosphere and, therefore, reducing risks for the environment as a whole. Another GEF strategic goal is related to the building of national and regional capacities and enabling conditions for global environmental protection and sustainable development. The project for the continuation of the institutional strengthening in CEIT is fully in line with this goal and facilitated greatly in CEIT capacity building and sustainable development.

F. Project financing

60. The project financing came from GEF, its contribution amounting to US $835,000 and co-financing originated from CEIT governments amounting to US $36,490 in cash and US $71,150 in-kind with full amount of US $108,040. The amount of US $300,000 was also accounted as co-financing to the project which represents a portion of the total ECA Network budget of US$ 1.1 million allocated by

the Multilateral Fund for organization of Network meetings for Article 5 countries in the Region for the three year period. The Article 2 countries under the project have been invited to participate in these meetings before and after the project closed. During the project, CEIT participation was funded from the project funds. From the evaluator perspective, it is questionable to account MLF funding of ECA Network as co-financing of the project.

61. The project support of NOUs was provided through the country-specific allocations in the budget according to Annex 4. The budget followed the budget model used in preparation and funding of IS projects funded by the GEF in the past. The budget was further elaborated during the SSFA preparation and attached to individual SSFAs. The abbreviated version of the budget by project components/Outcomes is presented in Table 3. Annex 7 contains detailed project budget.

Table 6. Budget by project components/outcomes

Project Components/Outcomes	Co-financing ($)	GEF ($)	Total ($)
IS sub-project country allocations	107,590	685,000	792,590
Country Training (includes, attendance at associated meetings to promote regional cooperation; latter initiatives already funded by MLF and bi-lateral donors)	300,450	45,000	345,450
Reporting Costs & Miscellaneous (inclusive of copier and projector rentals, publishing of reports)	0	20,000	20,000
Mid- and Terminal Evaluations		20,000	20,000
Project support inclusive of consultant for Russian translation of Green Customs Training Manual; Resource persons for Regional Meetings; Staff travel to meetings and workshops;	0	65,000	65,000
Total project costs	**408,040**	**835,000**	**1,243,040**

62. According to the Terms of Reference, the evaluation of the financial planning has been done in subsequent paragraphs under Section F- Factors affecting Performance.

G. Project partners

63. The project partners are described in Section E.2-The interaction of NOU with members of national steering committee and higher level authorities, Paragraphs 74-77 as well as in Section F.3 – Stakeholder participation and public awareness, Paragraphs 181-184.

H. Changes in design during implementation

64. The project was developed and approved during the period 2005 to 2007. The 2005 ODS consumption in the four CEITs served as a baseline in formulating activities proposed in the project document. The presentation of the 2005 baseline ODS consumption data in the project documents was not quite accurate. There was no critical analysis of ODS consumption in light of forthcoming ODS phase out targets. The deficiency of the project design in terms of inadequate analysis of ODS consumption is described in Annex 6 – Assessment of the Quality of Project Design. .

65. The assessment of risk in terms of growth of ODS consumption was estimated to be fairly low in the project document based on the 2005 consumption of CFC and HCFC amounting to 21.9 ODP tonnes CFC and 43.508 ODP tonnes HCFC left to be phased out. The analysis of ODS consumption data has

been undertaken beyond 2005 and presented in Table 1 and Paragraphs 28 and 29 above. The consumption was steadily growing from 68.9 ODP Tonnes in 2005 to 138.1 ODP Tonnes in 2009 when the project was started. The consumption remained high in 2011 mainly due to high HCFC and methyl bromide consumption in Kazakhstan. HCFC consumption in Tajikistan of 2.6 ODP tonnes in 2009 was dangerously close to non-complance with the forthcoming 2010 75% reduction target (1.5 ODP tonnes). Had the revision of the updated baseline been done before the project was actually launched and relevant changes introduced to the project document, the assessment of risk might be different and appropriate risk mitigation measures might have been outlined. Respectively, the necessary measures would have to be taken in formulating SSFAs that would help to address issues in ratification of MP amendments and non-compliance of Kazakhstan ODS consumption data reliability in Azerbaijan and potential non-compliance in Tajikistan.

66. Kazakhstan was a key country in achieving the major objective of the project to reduce ODS consumption. Kazakhstan consumed 130.2 ODP tonnes of HCFCs and MeBr in 2009 that represented 94% of the total consumption of the four CEITs (Table 1 above). The 2005 HCFC consumption in Kazakhstan was in excess of 2004 target by 14.3 ODP tonnes. Technically, Kazakhstan was in compliance since the country had not ratified the Copenhagen and Beijing amendments. However, the alarming situation of excessive level of HCFC consumption was not emphasized and properly addressed in the project document. The 45TH Meeting of the Implementation Committee determined that this situation prevented Kazakhstan from trading in HCFCs with parties to the Protocol and, therefore, recognized the import of HCFCs by the South Korea to Kazakhstan in 2008 and 2009 as illegal. Furthermore, the GEF suspended the disbursement of funding under the GEF-UNIDO MSP for the initiation of the HCFCs phase-out activities and prevention of methyl bromide use in agricultural sector in Kazakhstan until the time of ratification of Copenhagen and Beijing amendments. Kazakhstan ratified the Copenhagen amendment on 28 June 2011. The XXV MOP recognized Kazakhstan to be in non-compliance and requested to submit, as a matter of urgency an explanation for its excess consumption of HCFCs and methyl bromide, and details of the management systems in place that had failed to prevent that excess consumption, together with a plan of action with time specific benchmarks to ensure the party's prompt return to compliance with its HCFC and methyl bromide obligations under the Protocol.

67. Timely changes in project design during implementation are one of the key characteristics of adaptive management. Changes in project design were required to establish coordination under the circumstances of the parallel implementation of the IS project by UNEP, and UNDP/UNIDO of the MSP on "Preparing for HCFC phase-out in CEITs". It appears that the project adaptive management was not successfully employed by UNEP.

I. Reconstructed Theory of Change of the project

68. The Theory of Change Analysis defines the project's potential logical progression from the outcomes it has set out to achieve to the ultimate desired impact. It includes an analysis of the barriers and opportunities for achieving the desired impact or development goal. The Theory of Change Analysis can be refined and strengthened by evidence collated through the project terminal evaluation process. The terminal evaluation can therefore potentially play an important role in refining the Theory of Change.

69. The project was formulated at the time when the Theory of Change (ToC) was not yet developed and operationalized. The project does not present the casual pathway "Input – Output – Outcome - Intermediate State – Impact". The ToC categories such as Outputs, Indicators, Means of Verifications and Assumptions have not been formulated and applied in the appropriate way. The ToC has been

reconstructed at the stage of the preparation of the inception report by taking outputs and expected outcomes from the existing logframe and placing them in the right order in the ToC format. Then the proposed activities have been added to the table in conjunction with outputs and expected outcomes. The intended impacts have been identified on the basis of statements specified in the project document, and thus, the gaps have been filled.

70. The assessment of the likelihood of impact through Review of Outcomes to Impacts (ROtI) has been undertaken in line with Annex 6 of the Terms of Reference. The assessment of the project design has been done to determine its consistency with, and appropriateness for, the delivery of the intended impact. The verification of the causal logic between the different hierarchical levels of the logical framework has been done and circumstances associated with the delivery of the intended impact (assumptions and drivers) have been identified. The ROtI analysis has been done within the inception report. The ROtI facilitated in adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability. The results of ROtI analysis have been applied in writing of Section IV - EVALUATION FINDINGS.

71. A starting point of the Theory of Change assessment is the identification of the project's intended impact. The overall objective of the project, as set out in the Project Document, is to ensure the compliance of the country with the Montreal Protocol for the Protection of the Ozone Layer and its attendant phase out schedule for ODS by way of providing support for continued institutional strengthening and capacity building for NOUs and customs officials. The desired (longer term) impact of the project is the recovery and preservation of the stratospheric ozone layer. The progression from outcomes to the impact which is determined as "Recovery and preservation of the stratospheric ozone layer" through a series of intermediary states is shown in Annex 8 – Reconstruction of Theory of Change.

IV. EVALUATION FUNDINGS

72. This chapter is organized according to the evaluation criteria presented in section II.4 of the TORs and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion. The findings of the evaluation are based on the desk studies described in the Inception Report and field visits results.

A. Strategic relevance

73. The activities of the project were considered as the primary requirement for realizing the objectives of the countries of phasing out ODSs as Parties to the Montreal Protocol and thereby fulfilling their international obligations. The project was formulated on the basis of needs expressed by the respective governments and other national stakeholders.

74. The project and its results contributed to objectives of the UNEP DTIE OzonAction Programme. This Programme assists developing countries and countries with economies in transition (CEITs) to enable them to achieve and sustain compliance with the Montreal Protocol. The OzonAction Programme also assists countries in making informed decisions about alternative technologies and ozone-friendly policies. Under the Programme, more than 1,000 projects and services have been implemented that benefited of more than 100 developing countries and 7 CEITs, plus other services that assisted another 40 developing countries. The project is part of Environmental Governance which is determined as one of the six thematic priorities of the 2010-2013 UNEP Medium Term Strategy and the Bali Strategic Plan for Technology Support and Capacity-building (the Bali Strategic Plan),

which, amongst other matters, aims at a more coherent, coordinated and effective delivery of environmental capacity-building and technical support at all levels and by all actors, including UNEP, in response to country priorities and needs.

75. The project is consistent with the following GEF Strategic Goals: 1) Reduce global climate change risks by stabilizing atmospheric GHG concentrations through emission reduction actions; 2) Promote the sound management of chemicals, ODS in particular, throughout their life cycle to minimize the effect on human health and global environments; 3) Build national and regional capacities and enabling conditions for global environmental protection and sustainable development. The Project is also complimentary with the GEF regional MSP "Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs" involving 14 CEITs, including those four under the project and three implementing agencies: UNEP, UNDP and the World Bank. This project was transformed later into two regional projects: "Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region" being implemented by UNDP in Belarus, Tajikistan, Uzbekistan, Ukraine and "Initiation of the HCFCs phase out and promotion of HFCs-free energy efficient refrigeration and air-conditioning systems" prepared by UNIDO and approved by GEF for Azerbaijan and the Russian Federation. UNIDO sub-project for Kazakhstan is awaiting the GEF approval subject to ratification of Copenhagen and Beijing amendments by the Government of Kazakhstan.

76. Not all the objectives of the project in terms of planned activities have been achieved given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate. The detailed analysis of attained results is in the subsequent chapters of the report.

77. The strategic relevance of the project is rated as relevant (**R)** for the four CEITs: Azerbaijan, Kazakhstan, Tajikistan, and Uzbekistan.

B. Achievement of outputs

78. Outputs are concrete things done as a result of the project. Outputs reflect where and for what project funds were used. The outputs of the project have been determined through the process of the reconstruction of the Theory of Change when the casual pathway "Input – Output – Outcome - Intermediate State – Impact". The ToC categories such as Outputs, Indicators, Means of Verifications and Assumptions have been formulated during the desk review process and reflected in the Inception Report. These categories have been applied later in the course of field visits to establish the attainment of outputs in each individual country. The evaluation assessed, for each output component (both regional and national), the project's success in producing the programmed deliverables, both in quantity and quality, as well as their usefulness and timeliness. A set of indicators was used for the assessment of achievements of outputs. The questions as formulated in the evaluation matrix (Annex 2) and field observations were the main tools used. The questions from the evaluation matrix have been grouped for interactions with specific stakeholders, translated into Russian and communicated to NOUs in advance. The results are formulated for each of five categories of outputs and for each of four CEITs and presented in the following paragraphs.

1. Results by categories

i) Establishing the fully functional National Ozone Unit and initiating actions that created suitable conditions in the country for the phase-out of ozone-depleting substances according to requirements of the Montreal Protocol.

Azerbaijan

79. There was about a year of delay with the start of the project and signiing of the SSFA due to lack of Ozone focal point and qualified personnel in the Climate Change and Ozone Centre established under the National Hydrometeorological Department within the Ministry of Ecology and Natural Resource (MENR). Another problem was the unsettled balance from the initial IS project. The first disbursement was made in March 2010. Eventually, a team of contracted experts was formed, office equipment was procured and the work plan elaborated. The most important counterpart funding was provided as envisaged in SSFA. The National Steering Committee was formed. The access to decision makers and political support was provided through the Environment Policy Office of the MENR. The NOU was active up to October 2011. GEF funding was crucial for effective NOU operation. The NOU activities significantly degraded as GEF funding stopped.

Kazkhstan

80. The NOU as part of CCCC was functional at the start of the project in November 2008. It utilized funds available from non GEF sources. The GEF funding, however, was essential since CCCC as an independent commercial organization was not financially supported by the Government. The CCCC played an advisory role for the Ministry of Environment Protection (MEP) on a-case-by-case-basis. The MEP has facilitated the access to decision makers and provided political support to CCCC. The office infrastructure was upgraded and counterpart funding provided at the extent described in Paragraphs 192-198 below. The NOU started its activities according to the work plan without any delay and continued until June 2011. There was no attempt to incorporate NOU functions into governmental framework. Since then, the scope of ozone related activities and the staff involved have been significantly reduced.

Tajikistan

81. In Tajikistan, an insignificant time elapsed between the initial and continued IS support which however proved to be very challenging for the NOU staff. Notwithstanding the delay, the NOU operating under the Committee of Protection of Environment (CPE) remained functional at the start of the project. The first funding tranche was disbursed in the first quarter of 2009, not long after the signing of the SSFA. There was no need for additional training for the NOU staff. The NOU used well established connections with decision makers and the industry in setting the national steering committee and timely starting implementation activities outlined in the work plan. Counterpart assistance was provided in time. The GEF support was very important for NOU operation. In 2010 the Climate Change and Ozone Center was established in Hydrometrorological Department of the CPE with the staff of 10 officers incorporating the NOU composed of four positions. In 2011, the new Chairman of the CPE completely reshuffled the NOU. The former NOU staff was released and replaced with new personnel without any experience in relation to MP and ozone issues. Currently, the NOU is not functional. At the time of the evaluation only one NOU officer was on duty but he was not available for the interview. UNDP has started the implementation of the HCFC phase out project. There is an evident need for a fully active NOU. The newly appointed Chairman of the CPE assured the evaluator that the status of the NOU will be raised, the former competent staff will be reinstalled and the NOU will be placed in the CPE under the supervision of the Vice-Chairman of the CPE very soon.

Uzbekistan

82. The NOU in Uzbekistan is part of the Department of the Atmosphere and Air Protection (DAAP) within the State Committee for Nature Protection (SCNP). The ozone protection agenda has been embodied in Governmental institutions. The delay of two years between 2007 and 2009 created a serious challenge for the operation and sustainability of the NOU. As soon as the SSFA was signed, the NOU established the National Steering Committee and commenced the implementation of the project according to the work plan. A staff of 4 officers in the DAAP and 14 regional inspectors was engaged in ozone related activities on a permanent basis. The core NOU staff remained unchanged during the project. Counterpart assistance was provided almost fully and in time. During the project, the number of staff was increased by 12 additional personnel involved on a contractual basis in the implementation of the work plan. The DAAP staff and regional inspectors undergo a professional training every year. The NOU was fully active at the time of the evaluation.

ii) Improvement of the existing legislative and regulatory support forthe ODS control through development, promotion and adoption of legislative acts and regulations

Azerbaijan

83. The IS project was pivotal for NOU activities in acceding to the Beijing amendment. Currently all the MP amendments have been ratified by Azerbaijan. A number of Presidential and Government decrees on environment protection in Azerbaijan form a legal framework. The National Committee on Statistics has a register of ODS importers. However, it does not cover all of them. The Presidential Executive Order of 29 March 2006 and following Decree of the Cabinet of Ministers adopted the list of controlled ODS. Subsequently, in 2006, the Ministry of Ecology and Natural Resources established the ODS licensing and quota system. Currently, the licensing system covers imports of HCFC in bulk. However, the license and quota system was not working well. In 2011, the actual HCFC imports exceeded the MP allowed quantities by 105% and Azerbaijan was recognized to be in non-compliance. The license and quota system on imports of HCFCs will be further adjusted within the framework of the National Strategy on HCFC Phase out being developed under GEF-UNIDO project on HCFC phase-out. The regulations on control of imports of equipment containing HCFCs are not in place now and will be developed and adopted at a later stage. There are no labeling requirements for ODS and ODS containing equipment in place. In the lack of Refrigeration Association and vocational education, qualification requirements for servicing activities could not be adopted. Similarly, there is no legislation that mandates ODS recovery and recycling.

Kazakhstan

84. The legislative framework for environmental protection has been strengthened since 2000. Notwithstanding CCCC efforts, the Copenhagen and Montreal amendments were ratified only in June 2011 due to insufficient political support. Kazakhstan has been exceeding HCFC and MeBr phase out targets over the last nine and five recent years respectively. The process of ratification of the Beijing Amendments in Kazakhstan is ongoing, which was accelerated by pressure on the MEP from local importing companies which could not obtain prepaid shipments of HCFCs since exporters in South Korea and China halted the delivery. One major achievement was the development of the Environmental Code which was adopted in January 2007. The Environmental Code incorporates major national environmental legislation as well as requirements from most of the international environmental conventions. By the end of 2007, a number of regulations were adopted to support the implementation of the Code. These comprise, for instance, the management of ozone-depleting substances, and the import, export and transit of all types of waste and self-monitoring by enterprises. The 2004 Decree on Licensing of ODS activities including the repair, assembling and servicing of ODS-containing equipment allows to identify most of ODS importers (updated in 2013). The same document establishes requirements for qualification of servicing personnel and mandatory recovery/recycling (R/R) of ODS. There is no requirements on mandatory reporting of R/R ODS and

stockpiled unwanted ODS. Recently, licenses have been replaced by permits required simplified procedures that resulted in growing number of unqualified workforce. There is no centralized vocational education and Refrigeration Association that could provide certification of servicing personnel. Import/export licensing of ODS and ODS-containing products was introduced in 2004. Ban on the import of products containing ODS was enacted in 2005. CCCC participated in drafting and contributed to updating of several articles in the Environmental Code that enforced the control of ODS. In recent years, significant efforts were put in development and harmonization of legislation on ODS control within the Custom Union comprising Belorussia, Kazakhstan and Russia. Procedures on trade and transit of controlled ODS, including HCFCs were approved in September 2012 but have not been signed by Kazakhstan yet. The 2010 PIR strongly emphasized the membership of Kazakhstan in the Custom Union with Belorussia and Russia as a source of non-accounted HCFC import and therefore, as a major reason for non-compliance. Such a conclusion appears to be misleading. The most important reason was the absence of HCFC quota system. The HCFC consumption dropped just after introduction of HCFC import quota system which was prepared in 2011 and put in force in 2012. CCCC initiated and provided advisory support in the process of ratification Copenhagen Montreal and Beijing amendments.

Tajikistan

85. At the start of the project, the legislative framework was already established in Tajikistan through activities of the NOU under the initial IS project. In December 2005, the Cabinet of Ministers approved an amendment to the Decree 477 and introduced the ban on production, imports and re-export of CFCs and Halon. In 2006, existing legislation on licensing was amended to require activities related to the purchase, sale, use and destruction of ODS and ODS-containing products to be licensed, as well as activities related to the installation, maintenance and repair of equipment containing ODS. In 2007, additional legislation on licensing was approved including revised directives on the licensing of ODS-related activities and activities related to the installation, maintenance and repair of equipment containing ODS. The NOU has enforced adopted legislation by developing " Instruction on regulation of ODS and imports of ODS containing products" and "Instruction for individuals and legal entities engaged in service of refrigeration equipment and import into the Republic of Tajikistan of ODS and ODS containing products". The NOU in co-operation with the Customs developed the format for application for one time permission designed for ODS importers and the format of one time permission issued by the Ministry of Nature Protection. Individuals and entities engaged in ODS imports and servicing of refrigeration equipment have to obtain a qualification certificate from the Refrigeration Association in order to apply for licenses and permits. In the first year of the project, the efforts of the NOU were focused on the ratification of the tree remaining MP amendments. The ratification was accomplished in May 2009. In 2010, the licensing of HCFC imports was added to the existing licensing system. The quota system for HCFCs imports and a package of additional regulations, including imports of HCFC containing equipment, labeling requirements and other measures have been currently discussing and will be promoted and introduced under the implementation of GEF-UNDP HCFC phase out project. Presently, the Government is pursuing economic stimulating policies by diminishing control over businesses. New businesses have been granted relief from administrative inspections for the first three years. Such measures might complicate the management of environmental inspections and control over imports of HCFCs and HCFC containing equipment, and its servicing operations.

Uzbekistan

86. Uzbekistan ratified the two remaining Montreal and Beijing amendments in October 2006. The national strategy on ODS phase out was approved in 2000 and contains license and quota system and registration of importers. The ban on imports of Annex A, Group I and II, and Annex B, Group I, II

and III was introduced in 2002. The HCFC import licensing was introduced in 2005. There is no mandatory requirement on qualification certificates for personnel servicing ODS containing equipment due to the absence of Refrigeration Association in the country. The legislation on mandatory recovery and recycling of ODS refrigerants were adopted since 1996. However, it is not enforced since the R/R equipment provided under UNDP-GEF project in the period 1998-2007 has been deteriorated. From 430 recovery machines provided under the project, only 60 are in working condition now. The 2012 HCFC consumption is only 3.2% of the baseline. The HCFC quota system, requirements for labeling HCFC contained products and equipment and other legislative measures will be developed and adopted under the currently ongoing implementation of GEF-UNDP MSP on HCFC phase out in Uzbekistan.

iii) Improved national system of collection, processing and analysis of ODS consumption and use data

Azerbaijan

87. The ten year gap between the initial and continued GEF IS projects degraded NOU capabilities and its connection with ODS end-users. The country has been regularly reporting its ODS consumption data, including HCFCs to the Ozone Secretariat in recent years. However, HCFC data reported since 2006 are greatly incompatible. Semi-annual customs reports provided by the Customs remained the major source of ODS consumption data and the basis for establishing quota and issuing licenses for importers. The major importers that apply for import licenses are registered. However, there are evidences of availability of a number of smaller unregistered importers. Data published annually in National Statistics Review cannot serve as a reliable source for the verification of ODS consumption data. The ecological inspectors are not actively involved in verification of ODS consumption data. The contacts with ODS end-users were established owing to GEF IS support in conjunction with UNIDO activities under the GEF project on conducting surveys of HCFC and HFC consumption and preparing the outline of National Strategy on HCFC Phase out. HCFC 2009 and 2010 consumption was reported as 3.5 ODP tones and 0.3 ODP tones respectively. However preliminary surveys and site investigations demonstrated that the total consumption for 2009-10 was approximately 19 ODP tonnes. There are two main reasons for these discrepancies. Firstly, the lack of institutional capacity made it impossible to properly track the consumption of HCFCs, secondly it was clear that up to 9 ODP tonnes (81.5MT) of HCFC-141b was consumed through pre-blended polyols which have never been recorded. 2011 HCFC consumption data were collected and reported to the Ozone Secretariat greatly exceeding the previous historical data and 2010 75% HCFC phase out target. Consequently, Azerbaijan was in non-compliance. The 2012 reported HCFC consumption was reduced by 53%, which is not consistent with the results of the UNIDO surveys. The Government of Azerbaijan needs to put efforts on reconciling ODS consumption data obtained from different sources. There is no electronic access to the Customs ODS import data base. The representative of the State Custom Committee was not available for interview. As part of IS project activities, the NOU collected random data on recovered and recycled ODS and available equipment R/R from several end-users and some data on stockpiled unwanted ODS. There is no system on monitoring recovered, recycled and stockpiled unwanted ODS in the country.

Kazakhstan

88. The country is regularly reporting its ODS consumption data to the Ozone Secretariat. ODS consumption of Kazakhstan in 2011 represented 86% of the total consumption of CEITs participating in the regional IS project. ODS consumption data is collected and compiled by CCCC on the basis of ODS import data coming from the Customs. Import Customs data are calibrated with data available in the Ministry of Environment Protection (MOP) from issued import licenses and annual reports on the use of ODS provided by enterprises received licenses or permits allowing to work with ODS. MOP licenses allowing to work with ODS are mandatory especially for enterprises applying for state

contracts. Small and medium-sized companies, however, not always apply for MOP licenses. In all recent years except 2010, CCCC was entrusted by MOP for preparation of ODS Article 7 reports to be submitted to the Ozone Secretariat. Latest A7 data and anecdotal evidences provided by private companies interviewed by the evaluator demonstrate reduction in HCFC consumption in recent years. The reliability of data in A7 reports is compromised by continuing illegal trade as yet and incomplete consumption data provided by enterprises. A number of small and middle-sized enterprises did not apply for working licenses or permits. The representatives of the refrigeration industry reported on recovery and recycling operations and stockpiled unwanted ODS. The information is not available in the NOU on inventory of recovery and recycling machines in operation and their owners as well as quantity of recovered and recycled ODS. The NOU does not collect data on stockpiled and unwanted ODS.

Tajikistan

89. The country is regularly reporting its ODS consumption data to the Ozone Secretariat. The main source of ODS consumption data is the Customs Committee, which presents its reports annually to the Committee on the Protection of Environment (CPE). The NOU is responsible for the processing, verification and reporting of ODS consumption data to the Ozone Secretariat on the annual basis. The verification of data involves comparison of imported ODS quantities with total ODS in licenses and permits issued by the CPE. The representative of the Customs Committee explained difficulties in dealing with illegal trade of ODS, which is coming mainly from China in small disposable cans disguised as regular goods. The regular consultations between NOU and Customs are very effective tool for conducting inspections by ecological regional inspectorate in checking up availability of licenses among importers, traders and end-users. The Refrigeration Association (RA) is also involved in the verification of ODS consumption obtaining information on ODS use from its members. The electronic data base in the Customs is not connected to the NOU or the CPE yet. The work is going on to establish "one window" system in the Customs by then it will make possible electronic connection with the NOU. The Refrigeration Association has been monitoring and collecting data on the recovered and reused refrigerants, and maintaining the inventory of available R/R equipment. During the project, comprehensive data on stockpiled unwanted ODS were collected by the NOU and RA.

Uzbekistan

90. The NOU regularly reports A7 data to the Ozone Secretariat. Now, the State Customs Committee provides data on ODS imports to SCNP in hard copy. Data provided by the customs undergo a scrutiny contrasting this data with information obtained from importers and end-users. All the end-users have to log data on the brand and quantity of ODS refrigerants used. The ecological inspectors regularly check enterprises on consistency of their operations with ecological norms, including handling of ODS. The NOU maintains close contacts with the Customs. Currently, the State Customs Committee provides data on ODS imports to SCNP in hard copy. The on-line system has been tested and will be operational in 2015, providing direct access of the NOU to the Customs electronic data base. The information on recovered and recycled refrigerant is incomplete. Most R/R equipment provided to Uzbekistan is worn out and not operational. There is no national inventory of stockpiled unwanted ODS. Only the Customs provide regularly data on illegally imported, confiscated and stored ODS.

iv) Improvement in overall coordination and monitoring of National Phase Out Plan, including improved communication with governmental and non-governmental institutions, professional organizations, private sector and general public, in ODS phase out activities

Azerbaijan

91. The IS project activities in formulating further projects to achieve the final ODS phase out were closely linked with the objectives of another regional GEF-UNIDO project on surveying ODS consuming industry and preparing the outline of National Strategy on HCFC Phase out in CEITs, including Azerbaijan. Currently, the National Strategy is prepared and will be implemented as soon as the UNIDO investment project on HCFC phase out is finally approved by GEF. The participation of the NOU in this activity improved communication with private sector. The NOU obtained information on the available recovery and recycling equipment and quantity of recovered and recycled ODS at some servicing companies. The attempts to establish a Refrigeration Association were unsuccessful. The certification programme for servicing technicians cannot start in the near future due to a lack of cooperation among refrigeration servicing community and non-availability of training facilities. The NOU regularly communicated with the focal point in the State Customs Committee and jointly prepared the Handbook for Customs Officials containing basic information on MP and national legislation on ODS control as well as practical data on customs codes on controlled ODS and equipment containing ODS, labeling and color of standard refrigerant cylinders etc. There are no plans on establishing electronic data exchange system between NOU and NCC. The NOU launched an effective public awareness campaign engaging media, TV and NGO. The representative of the Customs was not available for interview. It was not possible to obtain information on the impact of the project and the status and preparedness of the Customs to deal with HCFC control. There were no evidences of collaboration of NOU with the MEP territorial inspectorate on ODS control of private industry end-users.

Kazakhstan

92. Currently, the national strategy on HCFC phase out as well as the action plan requested by the XXV MOP is yet to be developed by the Government. UNIDO has been discussing with GEF a PIF on the HCFC phase out project. The development of the national strategy will be the major element of the project. UNIDO is also discussing with GEF the PIF on introduction of alternatives to Methyl Bromide in agriculture and in post-harvest sector. The both PIF preparation is frozen until the ratification of the Beijing Amendment. The NOU made several attempts since 2003 to start the process of the ratification. However, the position of CCCC and NOU as not included in the governmental structure, the frequent rotation of personnel in the MEP and lack of political motivation made the NOU efforts ineffective. The UNEP Task Manager communicated with the Ozone Secretariat personnel, ECA Network Coordinator in UNEP DTIE, and NOU of Kazakhstan to try to expedite the process of ratification. UNIDO also appealed to the Government to expedite ratification of amendments. The Copenhagen and Montreal amendments were ratified in June 2011. Reportedly, Beijing amendment was recently approved by the lower chamber of the Parliament. In 2012, the quota system was introduced resulting in sizable HCFC consumption reduction. The NOU conducted the workshop on raising awareness about Montreal Protocol requirements and related national legislation for 33 representatives of the Government and refrigeration and foam manufacturing industry. The participants expressed an interest in accessing to information on destruction technology of unwanted ODS and energy efficient refrigeration technology. Three workshops, including practical training were organized for 59 Customs officers in three geographical regions. The workshops were evaluated positively by participants. The NOU maintained contacts with the Customs Committee. The NOU has access to the customs data base electronically. The representative of the Customs Committee confirmed positive results of the project for Customs operations. The Customs Committee

has facilities for training and retraining of its personnel and technical equipment to ensure adequate border control.

Tajikistan

93. The NOU established good connections with governmental institutions that facilitated daily activities of the NOU and was especially effective in ratification of three remaining MP amendments in 2009. The NOU in cooperation with other governmental institutions and UNDP have been successful in the promotion of the proposal on changing the HCFC baseline of the country. In 2011, MOP 23 by its Decision XXIII/28 decided to revise HCFC baseline in Tajikistan from 6.0 to 18.7 ODP tonnes. These measures enabled the country to avoid non-compliance. The NOU established very good relations with the refrigeration servicing industry, which is the main consumer of HCFCs. Tajikistan is the only CEIT in the project which has an active Refrigeration Association (RA). Through the RA, the NOU managed to retain operational the refrigerant recovery and recycling system in the country and regularly collect data on recovered and reused CFCs and HCFCs. The RA is active in training and retraining servicing technicians entering the labor market. The NOU in cooperation with the RA prepared the review of the refrigeration sector which constituted the important part of the UNDP project on HCFC phase out in the country. The NOU together with the RA and Customs prepared a normative document on labeling ODS containing products and equipment and distributed it among customs officers and end-users. The NOU was active in launching the awareness campaign. Ten books and booklets on technical and general ozone related subject were prepared, published and disseminated. Four training workshops for school teachers on ozone protection were organized. The HCFC strategy prepared in cooperation with UNDP is currently being considered by the Government.

Uzbekistan

94. The implementation of a national ODS phase out programme, including implementation of international projects, is under the scrutiny of the Parliament. The State Committee on Environment Protection presents its report to the Parliament annually. Currently, the NOU, in cooperation with other Governmental institutions and UNDP is developing a new ODS phase out strategy, which will be implemented with financial assistance from GEF under UNDP project on HCFC phase out. The NOU made several attempts to establish the Refrigeration Association. According to the law, a national professional association has to have branches in at least half of the regions in the country. Many regions, however, do not have sufficient number of qualified personnel to form a branch. The NOU has close relations with the refrigeration servicing industry and technical university. The NOU initiated the training activities in the Tashkent State Technological University albeit with limited success. Only two courses conducted on a commercial basis were organized with 38 attendants who received qualification certificates. The barrier is the lack of legislation requiring professional certificates for servicing personnel. The NOU arranged a massive public awareness campaign in public schools and colleges practically in all regions of the country, involving reputable NGOs as campaign organizers and regional inspectorates. A long list of events is in the NOU final report showing involvement of about 500,000 participants. The NOU maintains close relationship with the Customs Committee providing assistance for ODS import control involving ecological inspectorate. The Custom Academy has a training programme on border control of ODS. About 60% of all customs staff completed such training and received certificates. The Customs laboratory is well equipped and capable to analyze refrigerant blends and HCFCs contained in polyol blends that are imported for manufacturing foam products.

v) Improved co-ordination on long-term sustaining of NOU function, illegal trade, ODS destruction and other trans-boundary issues through participation in UNEP networking activities

Azerbaijan

95. Thanks to GEF financing, Azerbaijan significantly strengthened its participation in UNEP ECA networking activities from 2009 to 2011.The representative of the National Customs Committee (NCC) attended the 2009 ECA enforcement network meeting and regional Green Customs workshop in Budapest which reportedly was useful to combat the ODS illegal trade in the country. The country joined the iPIC system. However, it was not possible to ascertain the positive effect of the NCC participation in ECA networking, iPIC and other regional activities. The NOU was unsuccessful in organizing the meeting of the evaluator with the Customs focal point. The questionnaire on Customs activities was left unanswered. The regional approach to ODS Waste Management and Disposal in the ECA Region was not developed at the time of the IS project duration. The NOU has collected incomplete information on the amount of stockpiled ODS. The important piece of information concerns about 10 metric tonnes of halons stockpiled by the Caspian Shipping Corporation. Azerbaijan authorities have no plans to deal with this big quantity of unwanted ODS.

Kazakhstan

96. The participation of Kazakhstan Customs representatives in China – ECA dialog on cooperation in border enforcement, including joint training and consultation of customs officers (Urumqi, China, 23-25 June 2009) was very useful given the long border and intensive trade between the two countries. Similarly, the Custom representative participation in the ECA enforcement network meeting 2009 and regional Green Customs workshop in Budapest, Hungary, 12-16 October 2009 was very useful. Due to lack of funds and non-existence of the refrigeration association, representatives of the refrigeration industry did not participated in RAC thematic meetings organized by ECA. After the completion of the project, the significance of the regional cooperation was reduced since the participation of the NOU in ECA meetings stopped in 2011 and 2012 and resumed in 2013. The regional cooperation was not particularly effective in providing the access to information on destruction technology of unwanted ODS and energy efficient refrigeration technology.

Tajikistan

97. From 2009 to 2011, Tajikistan participated in six regional meetings organized by ECA. The line of communication with NOUs in border countries was established and proved to be useful for the exchange of experiences. Tajikistan could not fully materialize its potential as a country with a well functional refrigeration association within the regional ECA framework. Tajikistan's participation in ECA thematic RAC programme was very limited due to limited allocated resources. The participation in the ECA enforcement network meeting in 2009 and the regional Green Customs workshop in Budapest were very useful, as was the China-ECA dialog on cooperation in border enforcement in Urumqi, China in June 2009. The meeting in Urumqi was not successful, however, in resolving the issue of ODS export in small disposable cans. Tajikistan is a member of iPIC, however this system was not useful since exporters do not inform Tajikistan because of the small ODS quantities involved. The regional approach to ODS Waste Management and Disposal in the ECA Region was not developed at the time of the IS project duration.

Uzbekistan

98. The NOU and customs representatives participated in eight ECA meetings during 2009 and 2010, including the ECA – China dialog in Urumqi, and Green Custom meetings in Budapest in 2009 and Ashkhabad in 2010. The line of communication with NOUs in border countries was established and proved to be useful for the exchange of experiences. The dialog with Chinese customs had a limited

significance since small disposable cans containing ODS are not controlled on the Chinese side of the border notwithstanding that these particular items represent the bulk of ODS illicit trade in Uzbekistan. The wrong labeling of ODS containing cylinders and contaminated refrigerants were and remain problems that did not find resolution during ECA-China consultations. The representative of the Customs Committee informed that only EU countries used iPIC system in recent years, not China and India. The regional consultations on approaches and technology for destruction of unwanted stockpiled ODS proved to be not effective for Uzbekistan. The NOU tried to establish bilateral cooperation with an ODS destruction facility in Poland on a commercial basis but it was unsuccessful.

2. Rating of achievement of outputs

99. The evaluation provided individual ratings to each category of outputs according to the evaluation criteria described in Annex 5 to the Inception Report. The outputs for each of four CEITs are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Ratings of each output for each CEIT as well as overall rating are presented in Table 4 below.

Table 7. Rating of achievement of outputs

Outputs	Azerbaijan	Kazakhstan	Tajikistan	Uzbekistan
i) Establishing the fully functional National Ozone Unit and initiating actions that created suitable conditions in the country for the phase-out of ozone-depleting substances according to requirements of the Montreal Protocol.	**MS**	**S**	**S**	**HS**
ii) Improvement of the existing legislative and regulatory support for the ODS control through development, promotion and adoption of legislative acts and regulations	**MU**	**MU**	**S**	**S**
iii) Improved national system of collection, processing and analysis of ODS consumption and use data	**MU**	**MS**	**S**	**S**
iv) Improvement in overall coordination and monitoring of National Phase Out Plan, including improved communication with governmental and non-governmental institutions, professional organizations, private sector and general public, in ODS phase out activities	**MS**	**MU**	**S**	**S**
v) Improved co-ordination on long-term sustaining of NOU function, illegal trade, ODS destruction and other trans-boundary issues through participation in UNEP networking activities	**MS**	**MS**	**S**	**S**
RATING PER COUNTRY	**MS**	**MS**	**S**	**S**
OVERALL RATING	**S**			

C. Effectiveness: Attainment of project objectives and results

I. Evaluation of the achievement of direct outcomes

100. The analysis of attainment of objectives and planned result of the project is based on the evaluation of the achievement of direct outcomes as defined in the reconstructed ToC. The first-level outcomes expected to be achieved as an immediate result of project outputs are presented in the evaluation matrix in Annex 6 to the Inception Report with their respective indicators, detailed evaluation questions and data sources. The progress in achievement of outcomes is assessed for each outcome and each CEIT allowing for rating of this progress in each individual country using indicators listed in the right column.

Outcomes and indicators:

Outcomes at the national level	Indicators
1. Strong and stable institutional capacity is in place	1. The Government is committed to the long term support of created NOU by incorporating it into the governmental structure and providing adequate funding after the end of the project. 2. The NOU staff is committed and competent in Ozone and MP related issues. 3. The NOU staff is adequately trained in participating in regional networking activities

Progress:

Azerbaijan

101. The Government expressed its commitment to the long term support of the NOU by creating the Centre of Climate Change and Ozone (CCCO) and incorporating it into the National Hydrometeorological Department under the Ministry of Ecology and Natural Resources (MENR) in 2003. The NOU was staffed by four positions. However, the remuneration rates for the NOU staff were established at a very low level that did not allow for recruiting competent and adequately trained personnel. The Government failed to create conditions in stimulating the NOU staff from other sources, including GEF funding. As a result, the CCCO management had to recruit external qualified consultants on a contractual basis for the duration of the project. Their services discontinued as soon as the GEF funding was depleted. Currently, there is only one person on duty in the NOU with limited capability in terms of proficiency in ozone and Montreal Protocol related issues. The GEF funds were crucial to ensure participation of CCCO and Customs staff in ECA network meeting that was very useful in raising their competence and knowledge in Montreal Protocol related issues. However, those personnel are not part of the NOU anymore. Now, when UNIDO is about to start the HCFC phase out project, the NOU will not be capable to provide the necessary support. Therefore, UNIDO will have to rely on other national consultants.

Kazakhstan

102. By the time of the start of the project the NOU existed for about seven years within the Climate Change Coordination Centre (CCCC) which was established as an NGO independent of the Government. The Government does not provide any funding to the CCCC from the central budget. The funding for the NOU originated entirely from international donors and successful bids for commercial contracts to undertake work for companies and national organisations. For some of the work undertaken by the CCCC, the MNREP engaged CCCC through the bidding process for specific tasks such as the preparation of annual Article 7 reports for the Ozone Secretariat. The GEF funds were the major source of financial support of the NOU during the implementation of the UNEP IS project. The SSFA was signed by the Director of CCCC in agreement with the Ministry of Natural Resources and Environmental Protection (MNREP). The Vice-Minister of MNREP was appointed as the Chairman of the National Ozone Steering Committee. The CCCC maintained competent and qualified personnel ranging from four to six staff in the period preceding and during the IS project using funds coming from other projects. Currently, due to lack of funding, the CCCC dedicates cumulatively the resources of one staff dealing with MP and ozone related activities.

Tajikistan

103. The NOU operating under the Committee of Protection of Environment (CPE) remained functional at the start of the project with two staff. The GEF funding started in the first quarter 2009 since then the number of NOU employees was increased to four. The NOU staff was well trained and qualified. There was no need for additional training. In 2011, the new Chairman of the CPE completely reshuffled the NOU existed within the Climate Change and Ozone Center (CCOC) that was established in Hydrometrorological Department. The former NOU staff was released and

replaced with new personnel without any experience in relation to MP and ozone issues. Currently, the NOU is part of the CCOC funded very modestly from the central budget. In recent years, the NOU staff did not participated in ECA networking due to lack of funds. It is not up to the requirements and its effectiveness is extremely limited. The newly appointed Chairman of the CPE is cognizant about the problem and promised to take urgent measures to strengthen the NOU in the immediate future.

Uzbekistan

104. The NOU was established within the Department of the Atmosphere and Air Protection (DAAP) under the State Committee for Nature Protection (SCNP) in 2001 and was fully functional by the time the GEF IS project commenced. The NOU was funded from several sources: i) the State budget; ii) fees collected by DAAP for issuing licences for ODS import/export and export of products containing ODS, and iii) from international sources such as the GEF/UNEP funding for institutional strengthening that started in October 2009. The system of incentives is well elaborated within the DAAP which allows maintaining well-trained and effective NOU personnel in periods when external support is not available. The NOU personnel were actively involved in ECA networking activities.

Outcomes and indicators:

Outcomes at the national level	Indicators
2. Enhanced ODS control mechanism is in place, with increased range of elements that allow to adjust to changes in Montreal Protocol ODS phase schedule;	1. Political priority assigned by the Government to environmental issues and to the objectives of the Montreal Protocol in particular HCFC phase out. 2. Policy and regulations are in place or in the process of adoption. 3. Availability of necessary resources or promises of provision of such resources through external assistance. 4. The readiness of Customs Authorities to implement the necessary enforceable measures. 5. The well functioning national refrigeration association is in place and ready to support establishing the system of certification of refrigeration technicians and other users of ODS; 6. The awareness of stakeholders and legislators was raised through the awareness programme.

Progress:

Azerbaijan

105. The Government of Azerbaijan accepted the international commitments in the Montreal Protocol and its amendments by acceding to the last Beijing amendment in August 2012. The executive order of the President of Azerbaijan of 29 March 2006 and subsequent decree of the Cabinet of Ministers introduced effectively a ban on imports of ODS whereby the national customs authorities had been instructed to halt all the import of CFCs into the country. As appropriate, the quota and licensing systems were adopted to control imports of HCFCs. At present, the legislation covering the import of HCFCs and HCFC-containing equipment is not supported by robust monitoring or control processes. A quota system administered through the MENR does not appear to be effective and data collected by UNIDO from end-users in the course of project preparation for HCFC phase out in Azerbaijan show very wide discrepancies between HCFCs import permits issued and actual HCFCs imports. Furthermore, anecdotal evidence suggests that it is likely that there is significant movement of unauthorized goods and illegal trade. Azerbaijan was in non-compliance in 2011. The concept of Azerbaijan development until 2020 was adopted by the Presidential Decree with the objective to join OECD. The concept includes state programmes with references to climate and ozone issues to be addressed accordingly. These state programmes, however, are lacking specific financial allocations for their implementation. Given the present presumed HCFC consumption, the country needs significant resources to adhere to MP HCFC reduction schedule. The financial assistance of US $2.6

million has been sought from the GEF through UNIDO MSP which should be complemented with counterpart funding amounting to US $6.5 million. A part of requested assistance will be spent for the strengthening Customs capabilities to reinforce border control measures. The professional refrigeration association is not in place in Azerbaijan. The UNIDO project envisages the establishment of this association and the system of certification of refrigeration servicing personnel as well as mandatory recovery and recycling. These measures will facilitate greatly the reduction of ODS emissions. The NOU took a number of actions to raise awareness about acting legislation and ozone related issues among stakeholders and general public. It is difficult to assess the effectiveness and outcome of these activities.

Kazakhstan

106. The funding by the GEF for institutional strengthening has not resulted in an institutional structure that is fully responsive to the requirements of the Montreal Protocol. After the end of the IS project, Kazakhstan continued to report consumption of HCFCs in excess of 75% reduction target. Delays in compliance and difficulties in achieving required consumption levels appeared to be mainly due to delays in acceding to Copenhagen amendment and adopting HCFC import licensing and quota system which was eventually adopted in 2012. These delays indicate to low priority assigned by the Government to Montreal Protocol commitments. Kazakhstan applied for assistance to GEF for the implementation of national strategy on HCFC phase out. The provision of such assistance through the GEF-UNIDO project is questionable due to delay in ratification of the Beijing amendment. Kazakhstan, having a long border with China, experiences difficulties in countering HCFC illegal trade. The training workshops for customs officers that were organised by CCCC proved to be very useful. Yet, the Customs Committee will have to put additional efforts and resources to stop HCFC illegal imports. Kazakhstan needs to establish a refrigeration association and introduce qualification certification system to reduce ODS emissions in the refrigeration servicing sector.

Tajikistan

107. Tajikistan ratified all MP amendments. HCFC licensing system is in place. HCFC import quotas and legislative initiatives are under discussion in the Government. The implementation of the HCFC phase out strategy commenced in 2014 through GEF-UNDP project. The effective work of the refrigeration association and continuation of the recovery and recycling operations helped to reduce ODS emissions in the refrigeration servicing sector. Newly appointed management of the CPE is aware of ozone related issues and promised to assign a higher priority to objectives of the Montreal Protocol. The customs are closely working with ecological inspectorate and refrigeration association reducing the negative impact of the illegal trade.

Uzbekistan

108. Uzbekistan ratified all the MP amendments. There are evidences that the Government assigned a high priority to environment issues, including objectives of the MP. The implementation of the HCFC phase out strategy commenced under UNDP MSP funded by GEF with co-financing from the beneficiaries of the project. The licensing and HCFC quota system is in place. Other supportive legislative measures will be proposed in the course of the project implementation. The Customs Committee is highly cooperative and well prepared for enforcement of legislation and other border control activities. The establishment of the refrigeration association and certification system is under active discussion among stakeholders. The level of awareness is high due to the massive awareness campaign conducted under the project.

Outcomes and indicators:

Outcomes at the national level	Indicators
3. Timely and reliable ODS consumption data are collected and reported according to Article 7 of the Montreal Protocol	1. The system of collection, processing and analysis of ODS consumption, and use data is reliable and covers all controlled ODS consumed in the country; 2.The system of ODS recovery and recycling is operational; 3. The system of data collection on recovered and recycled ODS as well as stockpiled unwanted ODS is in place; 4. The A7 data is on Ozone Secretariat website.

Progress:

Azerbaijan

109. Azerbaijan regularly reported its ODS consumption data according to Article 7 of the MP. However, the system of collection, processing and analysis of ODS consumption, and their use is not very reliable in Azerbaijan. The HCFC consumption data reported under Article 7 are not consistent. There is a big discrepancy between officially reported data and data collected during preparation of GEF/UNIDO MSP on HCFC phase out in Azerbaijan. The recovery and recycling operations are on-going in some companies but the system of data collection on recovered and recycled ODS as well as stockpiled unwanted ODS is not in place.

Kazakhstan

110. Kazakhstan has the system of collection and verification of HCFC consumption data which have been regularly reported according to Article 7 of the Montreal Protocol. The verification of ODS consumption by small end-users is difficult since a number of them may not apply for ODS use permits. According to UNIDO PIF on introduction of alternatives to methyl bromide in agriculture and in post-harvest sector in Kazakhstan, Article 7 data reported recently on methyl bromide consumption are not reliable. Some refrigeration servicing companies, especially big ones, apply recovery and recycling equipment in their routine work but the system of R&R operations and collection of data on recovered refrigerant is not in place. Countrywide data on stockpiled unwanted ODS are not available.

Tajikistan

111. Tajikistan has regularly reported it Article 5 data. In 2011, Tajikistan requested and MOP 23 agreed to revise HCFC baseline in Tajikistan from 6.0 to 18.7 ODP tonnes. The system of collection and verification of ODS consumption data is in place. The Refrigeration Association is actively involved in the verification of ODS consumption data. Tajikistan maintains its ODS recovery and recycling system and collects data on recovered and reused refrigerants.

Uzbekistan

112. Uzbekistan has the system of collection and verification of ODS consumption data which have been regularly reported according to Article 7 of the Montreal Protocol. Some refrigeration servicing companies, especially big ones, apply recovery and recycling equipment in their routine work but the system of R&R operations and collection of data on recovered refrigerant is not in place. Countrywide data on stockpiled unwanted ODS are not available.

Outcomes and indicators:

Outcomes at the national level	Indicators
4. Increased awareness and capabilities of Government and stakeholders to fulfill their commitments in regard to existing and forthcoming ODS phase out targets under the Montreal Protocol; **5. General public is more informed about ozone related issues and Montreal Protocol**	1. NOU and stakeholders received sufficient knowledge and training, and have an adequate capacity to undertake collection, distribution and systemization of information on alternative ODS and ODS destruction technologies; 2. NOU and stakeholders have an adequate capacity to identify, formulate and monitor further projects required to achieve final ODS phase out; 3. The list of public awareness activities targeting wide public circles; 4. Raised public awareness leading to more responsible environmental behavior.

Progress:

Azerbaijan

113. The PIF "Initiation of HCFC phase out in Azerbaijan" was prepared by UNIDO international and local consultants in cooperation with CCOC, MENR and other stakeholders under a separate regional project funded by the GEF. The NOU staff on duty has not received necessary training. It does not have adequate capacity to undertake collection, distribution and systemization of information on alternative ODS and ODS destruction technologies. These activities will be undertaken by local and international consultants in interaction with stakeholders and beneficiaries of GEF/UNIDO FSP on HCFC phase out to be implemented in Azerbaijan. The NOU organized and participated in a number of public awareness activities, including the celebration of the Ozone Day. The wide dissemination of information about ozone depleting issues at certain extent contributed to expanded penetration of ODS-free equipment and its acceptance by the industry and general public. On the whole, the expected outcomes of the public awareness component have been achieved. UNEP project design did not include, a baseline and performance indicators to measure the benefits of the public awareness programme in terms of ODS reduction or otherwise.

Kazakhstan

114. The PIF "Initiation of HCFC phase out in Kazakhstan" was prepared by UNIDO international and local consultants in cooperation with CCCC, and MEP under a separate regional project funded by the GEF. The PIF is under discussion between GEF Secretariat and UNIDO pending the ratification of Beijing amendment by the Government of Kazakhstan. The time and conditions of the preparation of FSP on HCFC phase out in Kazakhstan will depend on results of discussion between GEF, UNIDO and the Government of Kazakhstan. Currently, in the absence of external financial support, the NOU does not have adequate capacity to undertake collection, distribution and systemization of information on alternative ODS and ODS destruction technologies. The NOU organized a workshop on ODS phase out in the refrigeration sector on ozone related issues, collection and analysis of ODS related information, acting legislation and alternatives to ODS and modern technology which raised awareness and facilitated in dissemination of information among stakeholders. The feedback from participants indicated needs for more specific information about synergy of the Montreal and Kyoto Protocols. The refrigeration industry community expressed interest in more profound and detailed technical information related to energy efficiency and alternative green technologies.

Tajikistan

115. The former NOU had been undertaking collection and distribution of information on alternative ODS and technology. The present NOU is not functional because of incompetent personnel was employed after the IS project ended in 2011. However, newly appointed management of the CEP promised to reassign former well qualified head of the NOU and his staff in the immediate future and to strengthen the NOU position in the Governmental hierarchy. During the IS project, eleven books and booklets were published on ozone related issues, national legislation and related technology as well as training workshop for secondary school teachers and students in all regions of the country covering about 2000 student. These activities resulted in raised awareness of stakeholders and general public. However, it was not possible to assess the impact of these activities since the UNEP project design does not contain relevant performance indicators related to changes in environmental behavior or otherwise.

Uzbekistan

116. The NOU staff is well trained and has an adequate capacity to undertake collection, distribution and systemization of information on alternative ODS and ODS destruction technologies. The principal elements and achievements of international assistance, primarily as a result of the GEF projects, are detailed in the prepared draft HCFC phase-out strategy. Uzbekistan completed the phase out of Annex A and B substances in 2002 and has maintained compliance with the London Amendment control measures since that time. Similarly, it has complied with control measures in latter amendments regarding complete phase out of Methyl Bromide. The only current reported consumption of ODS in the country is HCFCs, almost entirely in the form of HCFC-22 utilized for refrigeration servicing with small-scale foam manufacturing with application of HCFC-141b based polyols.

117. Uzbekistan has a practical experience in ODS destruction and participated in bilateral discussion with Poland on destruction technology. The NOU staff together with regional inspectorate participates in annual training workshops organized by the Government. The NOU took part in formulating HCFC phase out strategy, and currently is discussing with UNDP implementation modality of the GEF/UNDP FSP on HCFC phase out in Uzbekistan, including the procurement and installation of an ODS destruction facility. The NOU conducted a massive awareness campaign for general public, school and college students and other stakeholders covering in total about 500,000 people. The increased awareness on ozone and the MP related issues had a positive effect in raising the NOU status in the Governmental hierarchy.

Outcomes and indicators:

Outcomes resulted from ECA regional activities	**Indicators**
1. **Enhanced capacity of Governments in coping with illegal trade of ODS** **2. Improved knowledge on ODS destruction technologies and handling of stockpiled unwanted ODS** **3.Increased sustainability of NOUs in the region**	1. Participation of NOU staff and stakeholders in functional UNEP/MLF CAP ECA and UNEP OzoneAction Green Customs networks and obtaining information that facilitated the combat with illegal trade. 2. Establishment contacts with NOUs and Customs of ODS exporting countries, including participation in iPIC system. 3. The NOU and stakeholders received adequate information and knowledge on alternative ODS and ODS destruction technologies participating in ECA networking activities. 4. Potential availability of ODS destruction facilities in the Region. 5. Effects of NOU participation in ECA regional activities on their sustainability.

Progress:

Azerbaijan

118. The representative of the Customs participated in ECA and Green Customs meetings. The impact of this is not known since the representative of the Customs was not available for the interview. The information received by ECA and stakeholders was useful for the implementation of the IS project. However, those who participated in ECA meetings are not the NOU staff any more. The NOU does not have any specific plans on collection and destruction of unwanted ODS in Azerbaijan. The NOU expressed an idea that the establishment of a regional ODS destruction centre in Russia would be a solution. The participation of the NOU in ECA activities had no visible effect on the sustainability of the NOU.

Kazakhstan

119. In 2009 and 2010, the NOU staff and the customs representative participated in seven ECA and Green Customs meetings, including ECA-China customs dialog meeting. These meetings proved to be very useful for strengthening customs in combating with ODS illegal trade. Kazakhstan does not have a strategy in dealing with stockpiling and destruction of unwanted ODS that is considered as a discouraging factor for refrigeration servicing companies. As soon as GEF IS funding was discontinued, the presence of the NOU in ECA networking was reduced to participation in one ECA meeting in 2013 for the three year period (2011 – 2013). It appears that the NOU participation in ECA networking was not an important factor for its sustainability.

Tajikistan

120. The NOU staff and stakeholders, including customs and the Chairman of the Refrigeration Association actively participated in the ECA networking and Green Custom regional activities attending eight meetings in 2009 and 2010. The representative of the Customs Committee noted the importance of contacts with colleagues in the region for exchanging of experience in combating with ODS illegal trade. He noted also that only European Countries place information on ODS movement into the iPIC system. No such information is available from major HCFC exporters in China and India. The representative of the refrigeration industry recognized the value of ECA RAC meetings organized for countries with refrigeration associations for more profound exchange of knowledge in ODS alternatives and technology. The significance of ECA networking was not as effective in regard to approaches and strategy on stockpiling and destruction of unwanted ODS and related destruction technology at the time of the IS project. The first ECA project for a disposal of the first batch of the ODS stocks was discussed only recently in October 2013 for three countries Bosnia and Herzegovina, Croatia and Montenegro. The expertise obtained by the NOU enhanced its competence in MP and ozone related issues. The political decision to replace the NOU staff with a new team in 2011 was reversed in 2014 mainly because of well known credibility of the former NOU. In this sense, participation in ECA networking enhanced the sustainability of the NOU.

Uzbekistan

121. The NOU and stakeholders actively participated in ECA networking activities prior to, during and after the IS project attending 14 meetings in 2006 to 2013, including eight meetings during the project. The representative of the Customs emphasized the importance of regional cooperation with Green Customs and RILO. As a result of this cooperation and assistance from the NOU and regional inspectorates, the Customs seized several illegal shipments of ODS. In recognition of these efforts, the Uzbekistan Customs Committee was awarded with nine UNEP medals and certificates. All the new information received by the NOU at ECA meetings has been distributed electronically among national stakeholders. The ECA networking was not very helpful in addressing ODS destruction issues. The only and the first ODS destruction unit will be installed through GEF funded UNDP FSP on HCFC phase out in Uzbekistan. The participation of the NOU in ECA and Green Custom activities raised the NOU standing in the Governmental hierarchy and facilitated its sustainability.

Ratings of direct outcomes

122. Ratings of direct outcomes were made by categories of outcomes and countries, and presented in Table 5.

Table 8. Ratings of direct outcomes

Outcomes at the national level	Azerbaijan	Kazakhstan	Tajikistan	Uzbekistan
1. Strong and stable institutional capacity is in place	**MU**	**MU**	**MS**	**HS**
2. Enhanced ODS control mechanism is in place, with increased range of elements that allow to adjust to changes in Montreal Protocol ODS phase out schedule;	**MS**	**MU**	**S**	**S**
3. Timely and reliable ODS consumption data are collected and reported according to Article 7 of the Montreal Protocol	**MU**	**MS**	**HS**	**S**
4. Increased awareness and capabilities of Government and stakeholders to fulfill their commitments in regard to existing and forthcoming ODS phase out targets under the Montreal Protocol; **5. General public is more informed about ozone related issues and Montreal Protocol**	**MS**	**MS**	**S**	**HS**
Outcomes resulted from ECA regional activities				
1. **Enhanced capacity of Governments in coping with illegal trade of ODS** **2. Improved knowledge on ODS destruction technologies and handling of stockpiled unwanted ODS** **3.Increased sustainability of NOUs in the region**	**MS**	**MS**	**S**	**HS**
RATING PER COUNTRY	**MS**	**MS**	**S**	**HS**
OVERALL RATING	**MS**			

II. Likelihood of impact using RoTI and based on reconstructed TOC

123. The assessment of the likelihood of impact using a Review of Outcomes to Impacts (ROtI) approach has been done in accordance with Annex 8 of the TORs. An understanding of the causal logic of the project intervention was developed and the key impact pathways were identified, including intermediary states. The drivers and assumptions were specified during the inception phase of the evaluation, and then, clarified during the main evaluation phase. The project, outputs, outcomes, intermediary states, assumptions, drivers and impact are reflected in the diagram attached in Annex 6 representing the pathway to impact. The impact of the project is determined as "Recovery and preservation of the stratospheric ozone layer". The project is only expected to contribute to the global reduction of ODS release into atmosphere and through phase out of ODS consumption and reduction of ODS emissions that would result in recovery and preservation of the ozone layer in coming years.

124. The pathway from outcomes as discussed in Paragraphs 93 to 96 above to impact rests on the four intermediary states:

- NOUs in the region are increasingly sustainable;
- Reduction in ODS consumption due to newly introduced control measures;
- Reduced ODS emissions due to decrease in ODS illegal trade, recovery recycling operations, and stockpiling of unwanted ODS for subsequent destruction;
- Governments are aware of where and what outside assistance is needed and request such assistance.

125. A different degree of achievement of intermediary states was observed in the four CEITs. There can be little doubt that the NOU in Uzbekistan will continue to keep its high level of performance and sustainability. It is reasonably safe to suggest that the NOU in Tajikistan will recover its status in near future and continue to play its important role in the implementation of the national strategy on HCFC phase out. Currently, the NOU in Azerbaijanis is not functional. There is no indication that this status might change in the near future. In Kazakhstan in the absence of external support, the NOU is underfunded. The sustainability is questionable. Azerbaijan, Kazakhstan and Uzbekistan reduced their ODS consumption to 30.35 ODP tones in 2012 in comparison with 105.42 ODP tones in 2011 which was the last year of the project. The greatest reduction of 76% was observed in Kazakhstan due to introduction of the quota system albeit the country is still in non-compliance. Tajikistan maintained the same level of consumption. There is no quantitative information on reduction of ODS emissions due to decrease in ODS illegal trade and stockpiling of unwanted ODS. Azerbaijan and Tajikistan reported on recovery and recycling of 6.76 metric tonnes and 19.7 metric tonnes of CFC-12 and HCFC-22 in 2010. The refrigeration servicing companies in Uzbekistan and Kazakhstan also conduct ODS recovery and recycling operations but do not keep record of recovered ODS. The Governments in all four countries are fully informed about needs in external assistance. The assistance from the GEF has been already approved to address phase out of HCFC consumption for Azerbaijan (UNIDO), Tajikistan and Uzbekistan (UNDP). The discussion about potential funding is going on between the GEF, UNIDO and the Government of Kazakhstan.

126. Table 4 summarizes the ROtl analysis for the project. The rating is based on the rating scale as reproduced in the ToR, Annex 6, Table 1- Rating scale for outcomes and progress towards 'intermediate states'. Outcomes are rated on a scale A-D. The project outcomes have been rated as B – 'The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding'. This means that the outcomes were achieved and that there are implicit forward linkages to intermediary stages and impacts. Intermediary stages are rated as B – 'The measures to move towards intermediate states have started'. Intermediate states conceived have feasible direct and explicit forward linkages to impact achievement. Many barriers and assumptions were successfully addressed. The project achieved measurable intermediate impacts in terms of ODS phase out and reduction of emissions through recovery and recycling. The work to scale up the impact in terms of ODS phase out is going on under GEF funded HCFC phase out projects implemented by other partners (UNIDO and UNDP) and will lead to achievement of greater global environment benefits.

127. The overall rating is BB+. This rating is translated into "Highly Likely" according to ToR, Annex 6, and Table 2. 'Overall likelihood of impact achievement' on a six point scale.

Table 9. Results Rating of Project

Results rating of project entitled:	**Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol**						
Outputs	**Outcomes**	**Rating (D – A)**	**Intermediary states**	**Rating (D – A)**	**Impact**	**Rating (+)**	**Overall**
Establishing the fully functional National Ozone Unit and initiating actions that created suitable conditions in the country for the phase-out of ozone-depleting substances according to requirements of the Montreal Protocol.	Strong and stable institutional capacity is in place	B	NOUs in the region are increasingly sustainable	B	Recovery and preservation of the stratospheric ozone layer		BB+ or HL
Improvement of the existing legislative and regulatory support for the ODS control through development, promotion and adoption of legislative acts and regulations	Enhanced ODS control mechanism is in place, with increased range of elements that allow to adjust to changes in Montreal Protocol ODS phase out schedule;		Reduction in ODS consumption due to newly introduced control measures				
	Timely and reliable ODS consumption data are collected and reported according to Article 7 of the Montreal Protocol						
	Increased awareness and capabilities of Government and stakeholders to fulfill their commitments in regard to existing and forthcoming ODS phase out targets under the Montreal Protocol; General public is more informed about ozone related issues and Montreal Protocol		Governments are aware of where and what outside assistance is needed and request such assistance				

	Enhanced capacity of Governments in coping with illegal trade of ODS ; Improved knowledge on ODS destruction technologies and handling of stockpiled unwanted ODS; Increased sustainability of NOUs in the region;		Reduced ODS emissions due to decrease in ODS illegal trade, recovery recycling operations, and stockpiling of unwanted ODS for subsequent destruction				
Rating justification	The most of outcomes were achieved and there are implicit forward linkages to intermediary stages and impacts.		Intermediate states conceived have feasible direct and explicit forward linkages to impact achievement. Many barriers and assumptions were successfully addressed. The project achieved measurable intermediate impacts in terms of ODS phase out and reduction of emissions through recovery and recycling.		The achieved impact is phase out of 75 ODP tonnes in 2012. Additionally, 26.4 metric tonnes of ODS were recovered and reused reducing emissions into atmosphere.		

III. Achievement of project goal and planned objectives

128. The achievement of the project goal formulated as 'The preservation of the Stratospheric Ozone Layer' was pursued through meeting of its immediate objectives: Institutional strengthening and capacity building for and national ozone units and customs officials. It was envisaged that the enhanced capability of NOUs should initiate the process and provide support for further improvement of legislative and regulatory systems in place to ensure the fulfillment of new more stringent requirements of the Montreal Protocol. The increased capacity of customs should enforce new regulations and reduce the illegal trade. The achievement of proclaimed goals and objectives has been analyzed in detail in preceding paragraphs related to achievement of outputs and attainment of outcomes on a country-by-country basis.

129. The rating of achievement of outputs and outcomes in individual countries ranges from "moderately unsatisfactory" to "highly satisfactory". The overall achievement of outputs and outcomes is rated between "moderately satisfactory" and "satisfactory". The countries managed to achieve sizable reduction in ODS consumption in 2012, the year immediately after the project ended. The sustained NOUs facilitated the HCFC phase-out strategies to be developed by UNDP in Uzbekistan and Tajikistan and by UNIDO in Azerbaijan in conjunction with stakeholders as part of a regional GEF supported project for CEITs. The main objective of these strategies is to help prepare the countries for implementing customized regulatory changes and follow-up investment programmes in support of reducing dependence on HCFCs imports, and ensure that the Parties respect their obligations assumed under Decision XIX/6 of the Parties to the Montreal Protocol on the accelerated phase of HCFCs. These two key factors determined rating of the overall likelihood of impact achievement as "very likely". This rating shows that the main project goal was achieved. The overall rating of the achievement of project goal and planned objectives is satisfactory.

D. Sustainability and replication

130. The ToR determines sustainability as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. In case of the IS project in CEITs, it is important to consider the sustainability in the context of continued assistance provided by GEF to four CEITs. The regional MSP GEF/UNDP/UNIDO/UNEP/WB: "Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs: Bulgaria, Kazakhstan, Ukraine, Tajikistan, Belarus, Uzbekistan, Azerbaijan and the Russian Federation" was implemented from July 2008 to June 2011 coinciding in time with the GEF/UNEP continuation IS project. The project was instrumental in collecting HCFC consumption related data and formulating draft outlines of HCFC phase-out strategies for the involved countries. Once both projects were completed, there was a gap in the external IS support. There was no longer any institutional support provided to NOUs and this limited CEITs capabilities in participating in regional knowledge sharing platforms and collaboration with other Governmental partners to assimilate and implement best available approaches/practices in controlling HCFC import and phase-out. The number of appearances of the four CEITs at ECA regional meeting was reduced from 18 in 2009-2010 to eight in 2012-2013. It was the time when UNDP and UNIDO had been preparing and discussing FSP proposals on initiating HCFC phase out in CEITs.

1. Socio-political sustainability

131. The principal sustainability requirement is related to upholding the adequate capacity of the country that will be used to effectively fulfil the requirements of the Montreal Protocol to control the consumption and use of HCFCs maintaining the compliance status. The international commitment of Governments is a key factor to ensure the socio-political sustainability. The commitment of CEIT Governments to obligations of the Montreal Protocol has been discussed in analysing attainment of outputs and outcomes related to political priority assigned by Governments to environmental issues and adoption of required legislation and regulations.

132. The issue of post-project sustainability arrangements has been an intense negotiation point between UNDP and UNIDO in setting up legal instruments with CEITs, encouraging more effective incorporation of long-term NOU budget support into the national budgets. However, under existing economic situation in four countries, the Governments were unable to guarantee the continuation of their NOU support from national budgets at a required level. In the absence of international assistance and specifically GEF funding, it was assumed that progress on the implementation of the HCFC phase-out strategies in the participating countries would slow down, with limited and fragmented activities initiated to modernize HCFC import/use legislation and management capacity. Subsequently, the institutional strengthening component was incorporated in the UNDP regional project initiating HCFC phase out, including Tajikistan and Uzbekistan for the period 2012 -2015.The project was approved by the GEF. In May 2013, UNIDO submitted for consideration by the GEF the FSP on initiating HCFC phase out project in Azerbaijan, incorporating the institutional strengthening component. UNIDO is working on the details of the proposal. The FSP is likely to be approved by the GEF in the near future.

133. The Governments of Uzbekistan and Tajikistan fully and timely accepted the international commitments in the Montreal Protocol and its amendments, adopted legislation and implemented enforcement measures ensuring compliance with ODS phase out targets. Uzbekistan and Tajikistan established a framework for effective coordination with stakeholders to facilitate actions to reduce and phase out ODS consumption. Senior management in the Government of Uzbekistan and Tajikistan assured the evaluator of their political support to activities undertaken by NOUs. The availability of funding from the GEF enabled UNDP to start activities for the implementation of the

HCFC phase out in Uzbekistan and Tajikistan, ensuring sustainability of results achieved under the UNEP IS project. The Government of Azerbaijan is facing a challenge to reconcile the inconsistency reported in Article 7 data and thus facilitating the approval of funding the UNIDO HCFC phase out FSP by the GEF. The Government of Kazakhstan did not fully accept the international commitments of the Montreal Protocol and its amendments. The government does not appear to be committed to implementing legislation in a timely manner, which has resulted in Kazakhstan exceeding the control measures applicable to developed countries. However, due to international and internal industry pressure, Kazakhstan ratified the Copenhagen and Montreal amendments in 2011 and is actively pursuing the ratification of the remaining Beijing amendment. The country introduced a quota system on imports of HCFCs and drastically reduced its HCFC consumption in 2012. Kazakhstan still faces many challenges in the implementation of its commitments and in returning to a compliance level, given the importance of HCFCs to the industrial sector and the unstable situation with funds from the GEF for undertaking urgently required activities on HCFC phase out.

134. The common challenge for NOUs is the focus of Governments in the four CEITs on economic growth, which is reflected in directives to relax the requirements for enterprises to register when using ODS and to reduce the number of all kind of inspections, especially on small- and medium-sized businesses, including ecological inspections on the use of ODS by enterprises. These Government policies introduce additional risks and would require more stringent enforcement of ODS imports control on the borders by customs officers. These measures may also weaken the ability of the government to track and monitor the number of businesses becoming involved in ODS, which, in turn, may lead to poor management of ODS refrigerants and increased emissions.

135. The socio-political sustainability is rated as moderately likely.

2. Financial resources

136. The continuation of project results and the eventual impact of the project depend to a great extent on continued financial support of NOUs. There are different sources of financial support of NOU activities and distinctive financial rules that regulate the use of such a support in four CEITs.

- In Azerbaijan, the NOU is part of CCOC and is financed from the budget of the Department of Hydrometeorology under the Ministry of Ecology and Natural Resources. The remuneration rate of the NOU staff is very modest but additional external support cannot be used as a complementary reward. Such regulations do not provide incentives for competent and skilled personnel to be a part of the NOU staff. Currently, only one position out of four is occupied in the NOU. Therefore, the NOU utilized the salary portion of the project budget for recruitment of local external consultants who were capable to implement project activities.
- In Tajikistan, the NOU is funded from the central budget at a very low level of salary rate. The NOU staff is allowed to get additional payment from international sources. Therefore, external financial support is crucial to maintain skilled and competent staff.
- In Kazakhstan, the Climate Change Coordination Centre (CCCC) was established as an NGO independent of the Government. The Government does not provide any funding to the CCCC from the central budget. The funding for the NOU originated entirely from international donors and successful bids for commercial contracts to undertake work for companies and national organizations, including MNREP. The GEF funds were the major source of financial support of the NOU during the implementation of the UNEP IS project. Currently, due to lack of sufficient funding coming from commercial contracts, the CCCC dedicates one staff to MP and ozone related activities.

- In Uzbekistan, the NOU located within the Department of the Atmosphere and Air Protection (DAAP) under the State Committee for Nature Protection (SCNP) was funded from several sources: i) the State budget; ii) fees collected by DAAP for issuing licenses for ODS import of ODS and products containing ODS, and iii) from international sources such as the GEF funding. The system of incentives is developed to complement regular salaries from the other two sources of funding that created robust conditions to maintain the competent and dedicated staff in the NOU for the coming years.

137. It is clear that with limited funding for key institutional capacity, it would be difficult for these low income CEITs to sustain efforts indefinitely and degradation of this capacity will eventually occur. The lack of external support may result in associated risks to continued compliance and difficulty for the country to meet new compliance obligations as it is now the case for accelerated HCFC phase out as required of non-Article 5 countries. The funds approved by the GEF for institutional capacity strengthening within UNDP FSPs for Tajikistan and Uzbekistan will reduce significantly the risk to sustainability of project results and the eventual impact of the project. Equally, it is anticipated that the FSP proposal prepared by UNIDO for Azerbaijan will be approved shortly by GEF. Therefore, there is a low risk to financial sustainability in Azerbaijan, Tajikistan and Uzbekistan in the short term perspective. In case of Kazakhstan, the process of consideration of the request for GEF assistance is on the very initial stage because of delayed ratification of the Beijing amendment. There are significant risks to the continuation of project results and the eventual impact on reduction in ODS consumption in this country.

138. The overall rating for this dimension of sustainability is moderately likely.

3. Institutional framework

139. The institutional framework and governance was assessed on the basis of the analysis of existing institutional and legal framework provided in paragraphs related to the achievement of outputs in terms of their significance for sustenance of achieved outcomes and benefits of the project.

- The institutional framework and governance in place in Uzbekistan was assessed as robust, mainly because of the financial and political support from a key Ministry in the government and an effective implementation path as a result of the ongoing activities of the NOU. The evaluator received the complete package of requested documentation supporting that the system of accountability and transparency is in place. There was evidence of more responsible environmental behavior by the industry, as demonstrated in discussions with representatives of refrigeration servicing companies and academia. The awareness of the general public was raised noticeably, as was shown in the presentation made by the Ecological Resource Centre that was responsible for public awareness campaign.
- In Tajikistan, the evaluator attended the meeting of the National Steering Committee which demonstrated that newly appointed senior management of the Committee for Environment Protection and other stakeholders are actively involved in the implementation of the GEF/UNDP project on initiating HCFC phase out showing a consolidated support to objectives of the national strategy. Government institutions are working in close contacts with the industry formulating legally binding regulations, including an HCFC import quota system. The institutional framework and governance is assessed as robust.
- Quite recently, the government in Kazakhstan did not show adequate commitment to implementing legislation in a timely manner, in order to bring the country into line with control measures applicable to developed countries in the Montreal Protocol. However, there are signs of improvement over the last years. The Copenhagen and Montreal Amendments

were ratified in 2011. The legislation establishing an HCFC quota system was adopted in 2012 and resulted in noticeable reduction in HCFC consumption. Currently, the government is working hard to promote ratification of the remaining Beijing amendment. The signing of the Beijing Amendment will eliminate the obstacles to signing the Custom Union (Belorussia, Kazakhstan, and Russia) agreement on the free movement of ODS and ODS containing equipment/products, which could not be signed by Kazakhstan as a non-Party to the Beijing Amendment.

- In Azerbaijan, the main challenge is related to a lack of a robust system for collection and reporting ODS consumption data. The existence of this problem indicates a lack of cooperation between the government institutions and the industry and points to the weakness of the institutional framework and governance. It is expected that the forthcoming start of the GEF/UNIDO FSP on the initiating HCFC phase out might help to resolve the problem.

140. The overall rating for this dimension of sustainability is moderately likely.

4. Environmental sustainability

141. The cumulative ODS consumption in four CEITs was 138.1 ODP tonnes in 2009 when the project started. The bulk of this consumption was attributed to Kazakhstan consuming 130.2 ODP tonnes of HCFCs and Methyl Bromide or 94% of the total CEIT consumption. In 2012, the total CEIT consumption was 30.3 ODP tonnes with impressive reduction of 107.8 ODP tonnes. The share of Kazakhstan represented 21.36 ODP tonnes of HCFCs or 70% of the total CEIT consumption. There are a number of environmental risks that, if not controlled, may undermine the gains in protection of the ozone layer achieved to date. The main risks include Illegal trade, suspension of training activities for technicians and ODS recovery/recycling operations, limited adoption of legislation to control ODS, as well as poor management of stockpiled unwanted ODS in four CEITs and methyl bromide used by Kazakhstan reportedly for QPS-uses. The mitigation of risks associated with all these factors is part of GEF/UNDP FSPs in Tajikistan and Uzbekistan, and GEF/UNIDO FSP in Azerbaijan. The risks still remain to unaddressed in Kazakhstan since the UNIDO PIFs on HCFC phase out and on the introduction of ODS alternatives to methyl bromide in agriculture and in the post-harvest sector in Kazakhstan are under cosideration by GEF and funding of these projects is uncertain in the near future.

142. The overall rating for this dimension of sustainability is moderately likely

5. Catalytic role and replication

143. All the NOUs emphasized the significance of the project implementation for raising fiscal management skills of NOU personnel. A number of personnel involved are working on other environmental projects supported by the GEF and other international organizations. In particular, the experience gained by the NOU in Azerbaijan helped in producing the register of pollutants within the Aarhus Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters and Kyoto Protocol. In Uzbekistan, after the public awareness campaign, the Ministry of Education (MoE) introduced the regulation on mandatory head wear for public school students during open air activities because of the recognition of a potentially harmful impact of the short-wave solar radiation. The methodology used by "Ecomaktab" Ecological Research Center during the awareness campaign was recommended by the MoE and currently used in academic activities of public schools around the country.

144. The SCNP in Uzbekistan has inspection staff in fourteen regional offices, which *inter alia* issue certificates of compliance for enterprises that make products that contained ODS, receive payments

for ODS taxes, and oversee the construction of new buildings to ensure ODS-free materials and equipment were being used wherever possible. They also inform the NOU of the number of ODS licences issued. In this way, the relatively small staff of the NOU was able to leverage a much larger network of personnel to extend their operations on ODS significantly. This example of catalytic action was unique to Uzbekistan. To a lesser extent, the regional inspectors supported NOU activities in Tajikistan and Kazakhstan by providing information on licenses issued and ODS used by enterprises.

145. Training of technicians undertaken by Refrigeration Association in Tajikistan and by Tashkent State Technological University in Uzbekistan are good examples of catalytic actions related to the project The better quality of repair and maintenance of refrigeration equipment resulted in reduction of ODS emissions. .Similarly, Customs Committees in the four CEITs established training and retraining programmes for customs officers that included specific material related to border control of ODS and ODS-containing equipment reducing instances of the ODS illegal trade.

146. The catalytic role and replication is rated as satisfactory.

E. Efficiency

147. No cost-effectiveness ratios exist for IS projects. Therefore, there is no benchmark to compare the cost-effectiveness of this project with other similar interventions. The evaluation assessed the timeliness of project execution, which was characterized by a severe delay in the start of about two years in Kazakhstan, Tajikistan and Uzbekistan and three years in Azerbaijan. The negative effect of the delay is analyzed in detail in the Section: Context in Paragraphs 23-31. Beneficiary countries provided co-financing (mostly in-kind) contributing to the project budget. . The four CEITs benefited from participating in ECA networking and Green Custom programme activities at minimum cost from the GEF (travel and per diem) since the implementation of both programmes are funded from UNEP OzoneAction sources.

148. Since this project is the continuation of the previous projects funded by GEF including IS components, the evaluation appraised the benefits of earlier established NOUs and other interventions which affected the efficiency of this project in the Section: Status of NOUs at the starting point of the project in Paragraphs 35 to 61 above. The benefits of previous GEF interventions created continuity and were perfectly visible in Uzbekistan and Tajikistan, to a lesser extent in Kazakhstan and were almost not present in Azerbaijan.

149. The efficiency is rated as moderately satisfactory.

F. Factors affecting performance

1. Preparation and readiness

150. This criterion focuses on the quality of project design and preparation. The quality of project design and preparation has been analyzed in Annex 6 -the Assessment of the Quality of Project Design. In addition, several consideration regarding preparation and readiness in terms of baseline analysis, project's objectives and components have been discussed in the analysis of achieved outputs and outcomes. The issues that affected project readiness and design include limited project time frames-

due too long approval processes and delays at the start, over-ambitious project objective relative to the time and budget available, and associated unrealistic expectations of GEF/UNEP.

151. A number of planned activities were included in the project document and replicated in individual SSFAs. These activities have not been implemented fully due to limited budget and project time-frame as well as other barriers. As an example, while the ultimate goal in many countries appears to have been to make good servicing practices mandatory for all refrigeration technicians through the establishment of a certification scheme and the creation of Refrigeration Associations, NOUs faced serious challenges: lack of cooperation among refrigeration servicing community; non-existence of training infrastructure, legal hurdles, validation of authority of issued certificates etc. Other activities that could not be implemented from the IS limited budget are:

- Identify, formulate and monitor any further projects required to achieve final ODS phase out, whether at the national or regional level (these activities have been implemented under other GEF funded projects);
- Development of modalities to incorporate NOU functions into the government institutional framework for the long-term (It is a prerogative of national Governments. This objective was achieved only in Uzbekistan where such modalities existed before the IS project.);
- Relevant review, improvements and adjustments of labeling requirements for ODS and ODS containing-equipment (This issue is of international scope and could not be addressed only within the IS project);
- Processing and analysis on recovered and recycled CFCs and HCFCs (The implementation of R/R scheme including the monitoring of results requires substantial additional funding which was not available under IS project);
- Data collection on stockpiled and destroyed ODS (Additional funding would have been required).

Some of these activities were implemented in the period from July 2008 to June 2011 under another GEF/UNDP/UNIDO regional MSP "Preparing HCFC Phase out in CEITs", while others were incorporated into GEF/UNDP and GEF/UNIDO FSPs on initiating the HCFC phase out that are currently under implementation with an allocation of adequate resources (which had not been made available under the IS continuation project).

152. The regional character of the project design requires special consideration. There are clear differences in baseline and relevant characteristics in these four countries. The non-compliance of Kazakhstan required special and individual attention. The project combined three countries (Azerbaijan, Tajikistan and Uzbekistan) with similar level of ODS consumption and one country (Kazakhstan) with highly dissimilar values. Azerbaijan does not have contiguous national boundaries with the other three countries and belongs to another geographical region. UNEP was aware of the various difficulties in countries and wanted individual country projects to be approved as had been the practice in the past. This project was submitted at the halfway point of the GEF-4 replenishment, when there was increased competition for resources before they run out. GEF Secretariat strongly insisted on keeping the regional structure of the project with consolidated co-financing proposed by individual CEITs. In this way, the project had better chances to be approved by the GEF Council. Under the umbrella project, the SSFAs acted as subproject documents would have of old, governed by the regional project timelines, and milestones, as well as the expected deliverables associated with the list of activities standard for all countries, as presented in Paragraph II.4 of SSFAs and replicated in Paragraph 63 above. However, in order to try to find a place for country specific needs, UNEP embedded in the SSFAs a scope for the incorporation of country specific priorities under Paragraph

III.8 –" Country specific expected results/outputs to be achieved": "The national plan, which shall be developed by the NOU, in coordination with members of the Committee, shall outline the national monitoring, outreach and legislation development strategy, content and resources to be used during the implementation of the IS Renewal in the country. It shall be reviewed by representatives from relevant government agencies and departments, who will have a key role in either (i) making policy decisions about the national implementation of the Montreal Protocol or (ii) actively administering measures which help to fulfil national obligations to the Protocol." It appears then, that the issue of Kazakhstan non-compliance could have been addressed within the project as a whole, given this window of opportunity for specific country issues to be addressed. The consultant and the Evaluation Office tried to validate the explanations on the regional structure of the project provided by the former UNEP TM from another source i.e. the GEF Secretariat. Unfortunately, it proved to be unfeasible because of staff changes and amount of time since the project closure.

153. The overall rating is moderately unsatisfactory.

2. Project implementation and management

180. The country specific results/outputs to be achieved were not clearly articulated in SSFAs that could help to address issues in ratification of MP amendments and non-compliance of Kazakhstan, ODS consumption data reliability in Azerbaijan and potential non-compliance in Tajikistan. Changes in project design were also required to establish coordination in implementation of the IS project by UNEP and the UNDP/UNIDO MSP on "Preparing for HCFC phase-out in CEITs". It appears that the project adaptive management was not successfully employed by UNEP. The analysis of implementation approaches used by the project has been done in Section E-Implementation Arrangements in Paragraphs from 66 to 85 and Section H- Changes in Design during Implementation in Paragraphs 89 to 92. These Sections also include a description of the management framework, adaptive management, partnerships, relevance of changes in project design, and overall performance of project management. The extent to which the project implementation met GEF environmental and social safeguards requirements was also assessed. Apart from delays in the start of the project, the NOUs interviewed expressed their satisfaction with UNEP management of the project.

181. The project implementation and management is rated as moderately satisfactory.

3. Stakeholder participation and public awareness

182. The interaction of NOUs with stakeholders and their particular roles are described in Section C-Target areas/Groups, Paragraph 64. The interaction of NOU with members of national steering committee and higher level authorities is described in Paragraph 74 to 77. The NOUs mostly maintained close working contacts with their ministries on environment protection and customs authorities. The implementation of planned activities, however, required interactions with important governmental entities and other stakeholders. The stakeholders identified in CEITs, including members of National Steering Committees (NSC) are listed in the Table 5.

Table 10. Stakeholders Identified

Country	Stakeholders Identified
Azerbaijan	Ministry of Ecology and Natural Resources (MENR); Centre for Climate Change and Ozone (under MENR), State Committee on Customs, Statistic Committee (Ecological Department), Ministry of Transport (Ecological Department),HCFC end-user and service companies.

Kazakhstan	Ministry of Environmental Protection, Coordinating Centre on Climate Change, Ozone Office, Natural Resources Use Division of the Ministry of Agriculture, Ministry of Economy and Budget Planning, Ministry of Foreign Affairs, refrigeration/chiller manufacturers and service companies, food processing and cold storage, commercial, railway and refrigerated transport companies, foam manufacturers.
Tajikistan	Committee for Environmental Protection, Agency on Hydrometeorology of the Republic of Tajikistan, Ministry of Energy and Industry of the Republic of Tajikistan, Customs Committee, End users for in-house use, Importers and distributors, Refrigeration Service Companies and Refrigeration Technicians
Uzbekistan	State Committee for Nature Protection, NOU, Ministry for Foreign Economic Relations, Investments and Trade, Ministry of Economy, Ministry of Finance (Customs Committee),Ministry of Education, Industrial Large Commercial Refrigeration Manufacturers, Large Cooling AC Manufacturers, Assembly/Service/Maintenance Enterprises, Importers and Distributors

183. Typically, deputy ministers have been nominated to NSCs. However, NOUs also maintains working contacts with lower rank officials responsible for ecological issues in their respective body. The NOUs characterized their interaction with stakeholders as positive during the project implementation. In case of Tajikistan, the interactions between NOU and the management of the CEP was deteriorated and interrupted in 2012 and 2013. The good relationships were resumed with newly appointed management in 2014.

184. The degree and effectiveness of public awareness activities that were undertaken during the course of the implementation of the project have been assessed in Section C. I – Direct outcomes from reconstructed TOC in Paragraphs 137 to 141.

185. The rating of stakeholder participation and public awareness is rated as satisfactory.

4. Country ownership and motivation (driven-ness)

186. The country ownership and motivation has been assessed through an analysis of the performance of respective Governments in providing adequate support to the project execution. In Uzbekistan, the State Committee on Environment Protection (SCEP) has an important status in the governmental hierarchy. The SCEP reports annually to the Parliament on its activities, including the fulfilment of obligations under the Montreal Protocol. The Government in Uzbekistan showed strong commitment to the sustainable protection of the ozone layer through the establishment and funding of a well-managed and expertly-staffed NOU. The promised co-financing was delivered almost fully and in time. The government is wholly committed to eliminating the use of HCFCs through control of imports by the quota system and enforcement of border control. The 2012 HCFC consumption is significantly lower than the established HCFC reduction target. The Government responded well to UNEP coordination, guidance and supervision in the implementation of the project.

187. In Kazakhstan, the Government is motivated to improve ozone layer protection. The important step forward was the adoption of the HCFC import quota system in 2012. But it still falls short of translating this motivation into actions that effectively protect the ozone layer. Ratification of the Montreal Protocol amendments and adoption of ozone layer protection legislation have been continually delayed. These delays resulted in Kazakhstan missing the ODS reduction and phase out targets in the control measures applicable to developed countries under the Montreal Protocol and caused uncertainties in future GEF funding. The NOU is not part of the Government structure. The

financial Government contribution to the project was limited, representing about 28% of pledged assistance.

188. The Government commitment in Azerbaijan was shown in the timely ratification of the remaining Beijing amendment. The Government was also helpful in the implementation of the project work plan. However, the adopted HCFC license and quota system was not adequately enforced. The country failed to maintain compliancy with HCFC phase out target in 2011. The government was not able to provide efficient support to the NOU in tracking ODS consumption and preparing reliable ODS consumption data. The Government included funding of the NOU in the state budget and provided co-financing for the project. However, the salary rate for the NOU personnel is too low to ensure stability and competence of the staff. The co-financing of the project by the Government made up less than 50% of the planned target.

189. Thanks to strong Government commitments in Tajikistan, the NOU managed to implement a broad range of activities under the project. The Government motivation facilitated timely ratification of all Montreal Protocol amendments and the adoption of legislation to control HCFC consumption. The Customs Committee was very cooperative in training and retraining customs officers.

190. The further information on country ownership and motivation is presented in Section F iii) – Operational and political/institutional problems and constraints in Paragraphs 79-84.

The country ownership and motivation is rated as moderately satisfactory.

5. Evaluation of financial planning

191. The project financing has been reviewed in Paragraphs 86 and 88 above. The project budget is contained in Annex 5 of this report. The quality and effectiveness of financial planning and control of financial resources have been assessed on the basis of documentation on financial reporting which was made available by the former Task Manager of the project and files provided by the UNEP Division of Technology and Economics in Nairobi. It should be noted that the documentation provided is not well organized and incomplete. The evaluator was not able to get acquainted with relevant documentation in NOU offices in Azerbaijan, Kazakhstan and Tajikistan. In Azerbaijan NOU, the filing system does not exist. The former assistance manager of the project was only able to provide a not very well organized and incomplete set of documents. The NOU office in Tajikistan is currently dysfunctional and could not provide access to archived documents. The NOU in Kazakhstan informed that the project was completed three years ago, all the financial documentation was archived and is not accessible. The NOU in Uzbekistan managed to provide the requested documentation.

192. The analysis of available documentation and interview with ozone officers allow the evaluator to make a number of observations. The delay with the start of the project had a very negative impact on the NOU operations. The NOU staff was severely underpaid. In Tajikistan, the number of NOU staff was reduced from four to two. In Azerbaijan, in 2009, UNEP/GEF identified an unliquidated balance of about US $15,000 from the original IS project that was completed in 2002. The NOU was not able to track the relevant financial reports seven years back in order to clarify the situation in a short notice. The SSFA was not signed and the project was delayed for another year. As a result, the duration of the project was reduced from 30 to 20 months. According to NOU, the equivalent amount was deducted eventually from the budget and returned to the GEF. It was not possible, however, for

the evaluator to verify this statement from available financial accounts. Additional explanations have been provided by the former Task Manager as contained in Paragraph 219

193. After signing the SSFAs, the financial planning and management by the Task Manager and Financial Manager proceeded smoothly. The NOUs received regular cash advances and provided quarterly expenditure reports on project accounts in clear and transparent manner. All CEITs presented audited financial statements as it was required under SSFAs.

194. In Uzbekistan, the GEF grant amounted to US $170,000 and co-financing of US $30,000. There was a long time gap between the 6th next-to-last cash advance received by the NOU in March 16, 2011 and the last one amounting to US $42,500 that was received in November 8, 2011. As requested, in between these two events, the NOU presented the final activity report and audited financial statements as of May 31, 2011. The delay in receiving the last cash advance of five months had a negative impact on the staff and consultants who had been waiting for their remuneration for so long. Now, there is an ambiguity about the certification of expenditures incurred in association with the last cash advance because the activities undertaken had not been covered by the report of the auditor prepared in May 2011. So far, the NOU has not received any instructions from UNEP on reporting these expenditures.

195. The Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan NOUs presented reports on planned project co-finance and actual co-finance received in Annex 10 to their final report. The status of co-financing of different project components is shown in Table 6.

Table 11. Planned project co-financing and co-financing received (US $)

Co-financing categories	Cash contribution		In-kind contribution	
	Budget	**Received**	**Budget**	**Received**
UZBEKISTAN				
Equipment	0	3,942.62	5,500.00	5,500.00
Staff and services	22,500.00	5,972.53	2,000.00	2,898.43
Miscellaneous: transport expenses, Bonuses to NOU staff, Hospitality, Ozone Day celebration	0	8,091.82	0	0
Sub-total	**22,500.00**	**18,006.97**	**7,500.00**	**8,398.43**
Total budget	**30,000.00**			
Total received	**26,405.40**			
KAZAKHSTAN				
Participation of Government personnel;	0	0	30,000.00	1,200.00
Provision of specialized expertise;			3,000.00	100.00
Office furniture			1,000.00	100.00
Office space;			16,000.00	6,000.00
Municipal service;			5,000.00	900.00
Total			**30,000.00**	**8,380.00**
TAJIKISTAN				

Participation of Government personnel;	0	0	1,387.00	965.00
Provision of specialized expertise;			1,387.00	0.00
Office space rent;			9,984.00	5,304.00
Municipal and communication services;			1,204.00	623.00
Guarding and maintenance of the office;			2,428.00	1,234.00
Total			**16,990.00**	**7,906.00**
AZERBAIJAN				
Office, furniture, telephone, internet	0	0	30,600.00	13,800.00
Total			**30,600.00**	**13,800.00**
Grand total co-financing budget	**107,590.00**			
Grand total co-financing received	**56,491.40**			

196. The total planned co-financing in cash and in-kind contribution was assessed as amounting to US $107,590. Actual co-financing received was US $56,491.40 or 52.5% of the pledged co-financing. It is noted that co-financing of Tajikistan was erroneously shown in cash in the project budget while it is correctly expressed as in-kind in SSFA. The evaluator visited all the NOU offices. The expenses of maintenance of NOU office spaces in Azerbaijan, Tajikistan and Uzbekistan have been continuously covered by Governments after the completion of the project. In Kazakhstan, the CCCC moved to a new office after the end of the project paying the rent from its own budget. All the NOU acknowledged that office equipment purchased from the project budget is still available and used for everyday activities.

197. Additional amount of US $300,000 was included in the regional meetings component of the project budget as co-financing on the part of UNEP OzoneAction. (Please see also Paragraph 86). This amount represented a portion of a total of US $1.1 million allocated by the Multilateral Fund for Article 5 countries participating in ECA regional activities for three years. It is not clear how the portion of US $300,000 was determined in association with the four CEITs participation in the ECA meetings. The reference was made in footnote 7 to the project budget in Annex 5 as follows: (CEIT participation in 1 Regional Meeting, 1 Thematic meeting, and 2 Contact group meetings annually). During 2009 to 2011, the four CEITs participated in six ECA meetings. On the basis of this information, it is not possible to verify exactly what amount would be considered as co-financing of this component of the project.

198. The financial planning and management of the project is rated as moderately satisfactory.

6. UNEP supervision and backstopping

199. The UNEP supervision and backstopping role was discussed in Section E - Implementation Arrangements in Paragraphs 66 to 73, Sections on Project Financing in Paragraphs 86-88, and Evaluation of Financial Planning, and Paragraphs 188-194. In general, the NOUs in the four CEITs recognized the level of supervision and backstopping as satisfactory on the part of the Task Manager and Financial Manager. There were no indication to conflicts of interest between project management and project supervision. The documentation ascertaining the supervisory activities at the level of the international steering committee is limited to minutes of the meeting on the inception of the project that was held on 30-31 March 2009 in Paris, France. Other meetings of the Task Manager with NOUs

were held on the margin of Meetings of Parties to the Montreal Protocol but not documented. There are a number of copies of e-mails in NOU files showing the UNEP intensive supervisory activities.

200. The major drawbacks are related to delays with the start of the project, especially in the case of Azerbaijan where the problem with unliquidated balance from the initial IS project would have to be identified at the early stage of the financial planning. The situation with non-compliance of Kazakhstan and ratification of MP amendments would have needed an earlier and more forceful approach in resolving these issues with Kazakhstan high ranking officials.

201. UNDP and UNIDO have been implementing the GEF MSP "Preparing for HCFC Phase Out in CEITs: needs, benefits and potential synergies with other MEAs" in the four CEITs in parallel with the UNEP IS continuation project tackling similar issues. In particular, this project helped a lot in accounting for the consumption of HCFC-141b in the CEITs foam sector. The consumption of HCFC-141b has not been properly recorded, as it was considered as a product prior to 2009 when the MLF included it in the substances to be recorded. There has been no effective monitoring or control of the import and distribution of pre-blended HCFC-141b-polyol systems. There was sketchy reporting on synergy, coordination or benefits from UNDP and UNIDO activities in the 2009 and 2010 PIR- prepared by the Task Manager and virtually no reporting in HYPRs by NOUs.

202. UNEP supervision and backstopping is rated as moderately satisfactory.

7. Monitoring and evaluation

203. The assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document and in the design of the project M&E strategy has been undertaken by the evaluator and reflected in Annex 6 – Assessment of the Quality of Project Design. .

204. The M&E system was operational and facilitated tracking of results and progress towards projects objectives throughout the project implementation. HYPRs and final reports had been prepared by NOUs and submitted to the Task Manager, mostly on time. HYPRs and final reports reflected the achievements of NOUs in the period from January 2009 until June 2011and served as a basis for formulating Progress Implementation Review (PIR) reports. The Task Manager prepared three PIRs that covered 12 months periods as follows: from 1 July 2007 to 30 June 2008; from 1 July 2008 to 30 June 2009; and from 1 July 2009 to 30 June 2010. Due to the late start, the duration of the project was extended until June 2011. For some reasons, the PIR for the last twelve months period from July 2010 to June 2011 was not prepared.

205. The overall rating of project progress towards meeting project objective was assessed as satisfactory in the 2010 PIR notwithstanding the fact that HCFC and Methyl Bromide consumption in Kazakhstan significantly exceeded ODS phase out targets established for Article 2 countries. The overall risk of the project was rated as low. In comments justifying the 2010 rating, the Task Manager put emphasis on the Trade Agreement between Kazakhstan Belorussia and Russia[11] as a

[11] " In terms of overall objective of total phase out, Kazakhstan alone is now in an unexpected and unforeseeable situation where customs borders have been unified with those of Russia and Belarus, complicating their consumption and other trade figures. This was part of a broader trade deal outside of the NOU's purview and the scope of this project. However the NOU is currently working to try to insert control measures to help keep Kazakhstan out of further non-compliance in its ODS consumption."

source of non-accounted HCFC import and therefore, as a major reason of the high level of ODS consumption in Kazakhstan, which was beyond the NOU and the project control. Such a conclusion appears to be misleading. The Article 7 consumption data reported by Kazakhstan were based on ODS imports registered by Customs on border check points. Any movement of ODS between Kazakhstan and Russia would not be part of official ODS imports reported to the Ozone Secretariat any way. The detailed analysis of the situation in Kazakhstan is presented in Paragraphs 29, 46, 48, 71, 91, and 109. The main reason was late ratification of the Copenhagen Amendment and establishment of the HCFC import quota system. The HCFC consumption dropped in 2012 just after introduction of the HCFC import quota system, which was prepared in 2011 and put in force in 2012.

206. The project M&E plan has been reviewed in detail in the inception report and rated as moderately satisfactory, mainly because of the absence of SMART indicators and baseline information of each outcome-level indicator. In reviewing the evaluation ToR, the Task Manager admitted that the project was formulated at the time when ToC was not yet an established practice and operationalized Indicators of output success are qualitative, not measurable and without specific timelines attached.[12]

207. Monitoring and evaluation is rated as moderately satisfactory.

8. Use of GEF Tracking Tools

208. The GEF Tracking Tools are designed to track portfolio performance in several focal areas. Each focal area has developed its own tracking tools to meet its specific needs. The ODS phase out activities are not part of these focal areas. The use of proposed GEF tracking tools in other focal areas is not practical for tracking performance of the IS projects.

G. Complementarity with UNEP strategies and programmes

209. UNEP aims to undertake GEF funded projects that are aligned with its strategies such as Linkage to UNEP's Expected Accomplishments and POW 2010-2011, the Bali Strategic Plan, and Gender. This project was internalized in 2007. According to project design standards at the time in which the project was developed, there were no requirements for any such alignment.

V. CONCLUSIONS AND LESSONS LEARNED

A. Conclusions

210. The GEF/UNEP continuation of the institutional strengthening project proved the effectiveness of relatively small amounts of international assistance mobilized by the GEF. Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan demonstrated their ability to embrace the changing requirements of the Montreal Protocol applied to developed countries even though their economic status is much more comparable to developing countries operating under Article 5. The cumulative ODS consumption of the four CEITs was reduced from 138.1 ODP tonnes in 2009 (the first year of the project) to 30.35 ODP tonnes in 2012 (the year followed after the last year of the project). This achievement was made possible because of enhanced capacity of NOUs, motivation and specific actions undertaken by respective Governments in adopting timely the necessary legislative and regulatory systems.

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[12] « I am not sure that the concept of use of SMART indicators was in place when this project was designed….though of course in using the logframe, there was an attempt to make outputs, outcomes etc verifiable. »

211. The strengthened NOUs managed to launch extensive awareness raising campaigns for government officials, relevant businesses and the general public that resulted in increased awareness and capabilities of Government and stakeholders to fulfill their commitments in regard to existing and forthcoming ODS phase out targets under the Montreal Protocol. The general public became more informed about ozone related issues and the Montreal Protocol. However, UNEP project design does not contain a baseline and performance indicators related to changes in environmental behavior which would assist in measuring the benefits of the public awareness programme in terms of ODS reduction or otherwise. The feedback from participants showed the interest and need for more specific information about synergy of the Montreal and Kyoto Protocols. The refrigeration industry community expressed interest in more profound and detailed technical information related to energy efficiency and alternative green technologies.

212. The common challenge for NOUs is the focus of Governments on economic growth in the four CEITs, which is reflected in directives to relax the requirements for enterprises to register when using ODS and to reduce the number of all kinds of inspections, especially of small- and medium-sized businesses and including ecological inspections on the use of ODS by enterprises. These Government policies introduce additional risks and would require more stringent enforcement of ODS imports control on borders by customs officers. These measures may also weaken the ability of the government to track and monitor the number of businesses becoming involved in ODS which, in turn, may lead to poor management of ODS refrigerants and increased emissions.

213. The GEF support was very effective for building up the participation of CEITs in ECA regional activities organized by UNEP OzoneAction and financed under the MLF CAP. NOU and government representatives obtained broader access to exchange experiences, develop skills, and share knowledge and ideas with counterparts from both developing and developed countries in order to meet compliance, the provisions of the Montreal Protocol and its amendments. The 2009 to 2011 period saw the most active participation in ECA activities: four CEIT participated in 6 ECA meetings, designating 37 participant's altogether. For comparison, the same CEITs participated in 3 ECA meetings designating 11 participants in the three year period from 2006 to 2008 that preceded the project.

214. The ODS illegal trade is still a big problem in CEITs. It was recognized at the ECA regional Green Customs workshop and ECA enforcement network meeting in 2010 that several hundreds of ODP tonnes of virgin (new) and mis-declared as recycled CFCs were illegally traded every year in the ECA region, along with banned second-hand ODS containing equipment. The Governments have taken serious actions for enforcement of ODS phase out regulations through the strengthening of the the border control of ODS movement and combat with illegal ODS trade by way of regular training and retraining of customs officers and providing the necessary equipment to the extent that their limited resources allowed. The GEF assistance was, therefore, very important for enhancing Customs capabilities in CEITs. This assistance was channeled through additional training of customs officers and regional dialog under the ECA and Green Customs activities. As recognition of the significance of GEF assistance, UNEP medals were awarded to Kazakhstan and Uzbekistan customs officers for their efforts to prevent illegal trade in ozone-depleting substances (ODS) and second hand refrigeration equipment. There is still a need in modern analytical equipment to test the content and quality of incoming HCFCs as single substances and in blends at border check points. Previously supplied portable gas analyzers are seriously outdated and many of them are out-of-order.

215. The ECA dialog resulted also in Azerbaijan, Tajikistan and Uzbekistan joining the informal Prior Informed Consent (iPIC) mechanism where the Montreal Protocol focal points consult each others before issuing export or import licenses. A number of cases of illegal trade in ODS could have been prevented if the iPIC mechanism had been applied universally. Customs authorities in CEITs noted

that iPIC mechanism is not as effective as it could be because only exporters in Europe notify relevant authorities in destination countries. The major ODS and ODS containing equipment exporters in China, India and other Asian countries do not use iPIC system.

216. The cooperation of NOUs with ECA network on the issue of stockpiling and destruction of unwanted ODS was not successful enough. The regional approach to ODS Waste Management and Disposal in the ECA Region was not developed in the time of the IS project duration. Similarly, participation of NOUs in ECA networking did not bring expected results in establishing refrigeration associations in Azerbaijan, Kazakhstan and Uzbekistan. The refrigeration association in Tajikistan was established in 2005. Representative of this Association actively participated in ECA RAC thematic meetings.

217. The strengthened NOUs in Kazakhstan, Tajikistan and Uzbekistan were capable to collect ODS consumption data and report timely reliable data to the Ozone Secretariat according to Article 7 of the Montreal Protocol. However, the Government of Azerbaijan was not able to provide efficient support to the NOU in tracking ODS consumption and preparing reliable ODS consumption data and was called for discussion of this issue by the Implementation Committee. It is worthwhile to mention the additional assistance that was provided to the four CEITs in undertaking detailed surveys of ODS end–users through the regional MSP "Preparing for HCFC phase-out in CEIT" implemented by UNDP and UNIDO. This particular project helped a lot in accounting for the consumption of HCFC-141b in CEITs foam sector. The consumption of HCFC-141b has not been properly recorded, as it was considered as product, prior to 2009 when the MLF included it in the substances to be recorded. Heretofore, there has been no effective monitoring or control of the import and distribution of pre-blended HCFC-141b-polyol systems.

218. There is a common understanding that the introduction of good servicing practices in the refrigeration sector results in reduction of ODS emissions and better quality of repair and maintenance with perceptible benefits for the environment and customers. As a first step, the establishment of a refrigeration association opens the way for the introduction of the mandatory certification scheme. The Uzbekistan NOU made several attempts to establish such an association and now is working on legal issues. Azerbaijan and Kazakhstan are far behind. In Tajikistan, the refrigeration association has existed since 2005. However, the practical induction of mandatory certification scheme and the recognition of authority of certificates issued by the refrigeration association in this country faced a number of challenges. For example, the qualification of certified technicians needs to be validated by the Ministry of Education, including training process, curricula, tests etc. NOUs need to learn more about national requirements in promoting the mandatory certification schemes in their countries.

219. The project was internalized in UNEP with an effective start date of July 2007. A 30 months period was determined as the planned duration of the project. However the start of the project was delayed by two years in Kazakhstan, Tajikistan, Uzbekistan and three years in Azerbaijan due to a change in UNEP's legal instruments from MOUs to SSFA and internal UNEP reorganization. An additional one year delay in Azerbaijan was triggered by a discovery of an unsettled balance of about US $15,000 in IS project completed seven years ago in 2002. Consequently, project duration in Azerbaijan and Uzbekistan was reduced to 19 and 20 months respectively vs. 30 months planned. The significant delay with the start and subsequent reduction in project duration had a very negative effect on the efficiency of NOUs operation. Notwithstanding the importance and need for UNEP/GEF administrative changes and accountability requirements, the set back of three years appears to be unreasonably excessive.

220. UNEP provided explanations regarding the delay in the start of the project. GEF insisted on inclusion into the project document and SSFA a provision about the need to ensure post-project sustainability and government taking over support of the NOU. UNEP tried to facilitate by communicating this early to the countries ahead of endorsement of the project before submission of the project document to the GEF for funding. Incorporation of the NOU into government infrastructure was explicitly listed in the project document log frame and text. Once the project was approved UNEP immediately began reaching out to countries to begin creation of subproject documents. Kazakhstan and Tajikistan were most responsive, but their Government entities involved were very slow in vetting the Agreement. Therefore even in these two most responsive countries, it took over a year to vet IS documents, as they have implications for legal frameworks. Azerbaijan's NOU had been dismantled after the first project in 2002, when their own audit had identified that funds needed to be returned to UNEP and the GEF. When UNEP tried to follow up, there was no one responding on the matter, since they argued, they no longer had a dedicated NOU. So though there were letters pledging endorsement of the new project, and their involvement in the process, they were not timely in their responses when the time came to set it down in a legal document. Uzbekistan had a committed NOU, but a slow working political network that they had to deal with. So this NOU too took a long time to finalize the legal documents required to transfer funds. All of this was then exacerbated by change over in policy on the side of the UN to change to SSFAs from MOUs. UNEP tried to get an exception given the length of time spent on the subproject documents, but it was not granted by their Legal Department in Nairobi. The consultant and the UNEP Evaluation Office attempted to obtain additional explanations on the issue of the Azerbaijan's unsettled balance from the UNEP Financial Department. It proved to be not possible because of changes in staff and time elapsed since the project closed.

221. The project for the four CEITs was approved as a regional umbrella project. The project document, however, does not provide the rationale for such an approach. The geographical scope of the project was national in the four countries with some activities in the much broader regional context of the ECA network encompassing twelve Article 5 countries located in Europe and Asia. Paragraph 178 above provides additional considerations on this issue.

222. The effectiveness of international assistance mobilized by the GEF was initially highly effective in supporting the institutional capacity to continue ODS phase out efforts. However, with only one initial time funding for key institutional capacity activities, it is difficult for such low income CEITs to sustain those efforts indefinitely and degradation of this capacity might eventually develop resulting in increasing risks to continued compliance with accelerated HCFC phase out schedule. Furthermore, as was shown in Paragraphs 160 and 161 above, the funding of NOUs from the central budget does not guarantee the continuity of efficient and competent NOU staff. Modalities need to be developed to incorporate NOU functions into the government institutional framework in the long-term perspectives, including the system of incentives to complement regular salaries from the other sources of funding.

223. The project is evaluated as satisfactory. Relevance and effectiveness have been considered as critical criteria in the overall rating of the project. The evaluation ratings are shown in Table 6.

Table 12. Evaluation rating

Criterion	Summary Assessment	Rating
A. Strategic relevance	The project and its results contributed to objectives of the UNEP DTIE OzonAction Programme. The project is part of UNEP Environmental Governance and the Bali Strategic Plan. The project is also consistent with several GEF Strategic Goals	HS
B. Achievement of outputs	The achievement of outputs was assessed for 5 categories of outputs in 4	S

Criterion	Summary Assessment	Rating
	countries and rated ranging from HS to MU (see Table 4 in the Report).	
C. Effectiveness: Attainment of project objectives and results		S
1. Achievement of direct outcomes	The achievement of direct outcomes was assessed for 5 categories of outcomes in 4 countries and rated ranging from HS to MU (see Table 5 in the Report).	MS
2. Likelihood of impact	Intermediate states conceived have feasible direct and explicit forward linkages to impact achievement. Many barriers and assumptions were successfully addressed. The project achieved measurable intermediate impacts in terms of ODS phase out and reduction of emissions through recovery and recycling.	Very likely
3. Achievement of project goal and planned objectives	The achievement of proclaimed goal and objectives is related to achievement of outputs and outcomes. The countries managed to achieve sizable reduction in ODS consumption in 2012, the year immediately after the project ended. The HCFC phase-out strategies were developed by UNDP in Uzbekistan and Tajikistan and by UNIDO in Azerbaijan in conjunction with the NOUs and stakeholders as part of a regional GEF supported project for CEITs. These two key factors determined rating of the overall likelihood of impact achievement as "very likely". This rating allows giving findings that the main project goal was achieved. The overall rating of the achievement of project goal and planned objectives is satisfactory .	S
D. Sustainability and replication		ML
1. Financial	There is very low risk to financial sustainability in Azerbaijan, Tajikistan and Uzbekistan in the short term perspective. In case of Kazakhstan, there are significant risks to the continuation of project results and the eventual impact on reduction in ODS consumption in this country since the request for GEF assistance for HCFC phase out activities is on the very initial stage of consideration because the Beijing amendment is yet to be ratified by the Government	ML
2. Socio-political	The Governments of Uzbekistan and Tajikistan fully and timely accepted the international commitments in the Montreal Protocol and its amendments. The Government of Azerbaijan is facing a challenge to reconcile the inconsistency in reported Article 7 data. The Government of Kazakhstan has not ratified the Beijing amendment and, therefore, did not fully accept the international commitments in the Montreal Protocol and its amendments thus posing the risk to sustain the achieved results.	ML
3. Institutional framework	The institutional framework and governance undertaken by Uzbekistan was assessed as robust. In Tajikistan, the institutional framework and governance is assessed as robust. Quite recently, the government in Kazakhstan did not show adequate commitment to implementing legislation in a timely manner, in order to bring the country into line with control measures applicable to developed countries in the Montreal Protocol. However, there are signs of improvement over the last years. In Azerbaijan, the main challenge is related to a lack of a robust system on collection and reporting of ODS consumption data.	ML
4. Environmental	There are a number of environmental risks such as Illegal trade, suspension of training activities for technicians and ODS recovery/recycling operations, limited adoption of legislation to control ODS, as well as poor management of stockpiled unwanted ODS in four CEITs and methyl bromide used by Kazakhstan reportedly for QPS-uses that, if not	ML

Criterion	Summary Assessment	Rating
	controlled, were assessed as likely to undermine the gains in protection of the ozone layer that had been achieved to date. These risks are recognized and will be addressed through the implementation of GEF/UNDP/UNIDO projects. The GEF funding of the methyl bromide project in Kazakhstan is still under discussion. Environmental risks are discussed in Para 165.	
5. Catalytic role and replication	All the NOUs emphasized the significance of the project implementation for raising fiscal management skills of NOU personnel. A number of personnel involved are working on other environmental projects supported by the GEF and other international organizations. Other specific examples are in Para 168-170.	S
E. Efficiency	The evaluation assessed the timeliness of project execution which was characterized by a severe delay of about two years. Beneficiary countries provided co-financing (mostly in-kind) amounted to US $56,481.40 making available office space and furniture for NOUs, and delivering municipal and other servicing thus contributing to the project budget. The benefits of previous GEF interventions created continuity and were perfectly visible in Uzbekistan and Tajikistan, to a lesser extent in Kazakhstan and were almost not present in Azerbaijan.	MS
F. Factors affecting project performance		
1. Preparation and readiness	The quality of project design and preparation has been analyzed in Annex 2 to the inception report. The issues that affected project readiness and design include limited project time frames due to long approval processes and delays with start up, over-ambitious project objective relative to the time and budget available, associated unrealistic expectations of GEF/UNEP and unwarranted regional framework of the project.	MU
2. Project implementation and management	The country specific results/outputs to be achieved were not clearly articulated in SSFAs in a way that would help to address issues in ratification of MP amendments and non-compliance of Kazakhstan, ODS consumption data reliability in Azerbaijan and potential non-compliance in Tajikistan. The significant delay with the start up and subsequent reduction in project duration had a very negative effect on the efficiency of NOUs operation. Apart from delays in the start up of the project, the NOUs interviewed expressed their satisfaction with UNEP management of the project.	MS
3. Stakeholders participation and public awareness	The NOUs maintained close working contacts mostly with their ministries on environment protection and customs authorities. The effectiveness of public awareness activities was assessed as high.	S
4. Country ownership and motivation (driven-ness)	The country ownership and motivation are related to the performance of respective Governments in providing adequate support to the project execution which was assessed as satisfactory. Three countries acceded to all MP amendments according to schedule.	MS
5. Financial planning and management	The financial planning and management of the project is rated as moderately satisfactory because of one year delay in the start up of the project in Azerbaijan due to unsettled balance from 2002 IS project. There is an ambiguity about the certification of expenditures incurred in association with the last cash advance in Uzbekistan.	MS
6. UNEP supervision and backstopping	NOUs in the four CEITs recognized the level of supervision and backstopping as satisfactory on the part of the Task Manager and Financial Manager. There were no indication to conflicts of interest between project management and project supervision. In Azerbaijan, the problem with unliquidated balance from the initial IS project would have to be identified at the early stage of the financial planning. The situation with non-	MS

Criterion	Summary Assessment	Rating
	compliance of Kazakhstan and ratification of MP amendments would have needed early and more forceful approach in resolving these issues with Kazakhstan high ranking officials.	
7. Monitoring and evaluation		MS
a. M&E Design	The assessment of M&E project design has been undertaken by the evaluator and reflected in the Inception Report. The quality of the project M&E plan was rated as satisfactory.	S
b. M&E plan implementation	Some specific shortcomings in monitoring and reporting the progress in PIRs are described in Para 205 and 206 of the Report.	MS
Overall project rating	Relevance and effectiveness have been considered as critical criteria in the overall rating of the project.	S

B. Lessons learned

1) The project proved that the existence of a stable and capable NOU is an important element for the successful fulfillment of CEIT obligations under the accelerated phase out schedule for HCFCs of the Montreal Protocol in the medium and longer term. The experience in the last decade demonstrated that it would be very difficult for low income CEITs to maintain well functional NOUs without external support. Therefore, GEF support for the strengthening of institutional capacity in CEITs was crucially important. The GEF support was extended to Tajikistan and Uzbekistan through UNDP HCFC phase out projects and to Azerbaijan through similar UNIDO project. The assistance to Kazakhstan is under discussion. It is important that UNDP and UNIDO as implementing agencies allocate the necessary project resources to NOUs in their respective countries to maintain their continuity.

2) One of the objectives of the project sustainability was the promotion of incorporation of NOUs into Governmental structure with NOU funding from the central budget. Due to very low salaries of governmental officials in CEITs, the funding of NOUs from the central budget does not guarantee the continuity of efficient and competent NOU staff. Modalities need to be developed in CEITs that will guarantee long-term sustainability and continuity of well-trained NOU staff, including a system of incentives to complement regular salaries from the other sources of funding. The Uzbekistan NOU is a good example where such modalities are applied.

3) In recent years, the CEIT Governments have been focusing on economic growth by issuing directives to relax the requirements for enterprises to register when using ODS and to reduce the number of all kinds of inspections, especially on small- and medium-sized businesses and including ecological inspections on the use of ODS by enterprises. These Government policies might introduce additional risks for illegal ODS imports and would require more stringent enforcement of ODS imports control by customs officers at the borders. These measures may also weaken the ability of the government to track and monitor the number of businesses becoming involved in ODS which, in turn, may lead to poor management of ODS refrigerants and increased emissions.The NOUs in conjunction with UNDP and UNIDO might consider the possibility to establish a dialog with the Government on finding the right balance, while not compromising the efforts on control of ODS in the respective countries.

4) The general public became more informed about ozone related issues and Montreal Protocol. However, the UNEP project design does not contain a baseline and performance indicators related to changes in environmental behavior which would assist in measuring the benefits of the public

awareness programme in terms of ODS reduction or otherwise. UNEP Secretariat and Evaluation Office might wish to consider the development of relevant requirements for baseline and performance indicators.

5) The GEF funding was used to encourage the participation of CEIT NOUs and government representatives in ECA regional activities organized by UNEP OzoneAction. These resulted in broader access to experiences, in the development of skills, and the sharing of knowledge and ideas with counterparts from both developing and developed countries. The level of CEIT participation dropped after the completion of the GEF IS project. It is strongly advisable that UNDP and UNIDO allocate adequate resources within the HCFC phase out projects for funding CEIT participation in ECA regional activities in the coming years.

6) Azerbaijan, Tajikistan and Uzbekistan joined the informal Prior Informed Consent (iPIC) mechanism where the Montreal Protocol focal points consult each others before issuing export or import licenses. A number of cases of illegal trade in ODS could have been prevented, had the iPIC mechanism been applied universally. However, major ODS and ODS containing equipment exporters do not inform CEITs through the iPIC system. The situation could be improved if UNEP DTIE would pursue this issue in other regional networks and Green Customs meetings and through interaction with major ODS exporter countries, bearing in mind concerns of CEITs which do not receive prior notifications through the iPIC system, in particular from China and India.

7) Azerbaijan experienced difficulties in tracking ODS consumption and preparing reliable ODS consumption data. The country was called for discussion on this issue by the Implementation Committee. In part, this situation developed because the consumption of HCFC-141b has not been properly recorded, as it was considered a product prior to 2009 when the MLF included it in the substances to be recorded. There was no effective monitoring or control of the import and distribution of pre-blended HCFC-141b-polyol systems. Accounting for the HCFC-141b consumpton became a rather new issues for NOUs in CEITs. NOU and ecological inspectorate need to be trained to track consumption of the pre-blended HCFC-141b by end-users, capacity of Customs has to be built to detect HCFCs/blends at the entry points, and regulatory measures have to be enforced accordingly.

8) The introduction of mandatory certification scheme for refrigeration technicians and the recognition of authority of issued certificates might require the review of the process in local Ministry of Education and/or Ministry of Labor.

9) The start up of the project was delayed by two years in Kazakhstan, Tajikistan, Uzbekistan and three years in Azerbaijan, due to a change in UNEP's legal instruments from MOUs to SSFA and internal UNEP reorganization. One additional year delay in Azerbaijan was triggered by a discovery of an unsettled balance. Such a significant delay with the start of the project and the subsequent reduction in project duration had a very negative effect on the efficiency of NOUs operation. GEF and UNEP Secretariats may wish to consider adopting measures to ensure faster preparation and signing of funding agreements by Governments and timely clearance of earlier approved projects.

10) The project for the four CEITs was approved as a regional umbrella project. The project document does not provide the rationale for such an approach. The Task Manager identified problems related to cumbersome and time consuming management and supervision of umbrella type projects. In the future, GEF and UNEP Secretariats may want to consider not endorsing regional projects if the participating countries have dissimilar ODS consumption patterns and administrative and industrial structure.

11) Incomplete data and documentation in files and electronic data bases kept by some NOUs created difficulties and limitations during the evaluation. The NOUs concerned explained this situation by the time lag of almost three years passed from the completion of the project, which is when rotation of NOU staff happened and some files went missing. They referred also to the lack of timely notification from UNEP about the forthcoming terminal evaluation and requirements for record keeping. In fact, official 2012 data represented ODS consumption for the first year after the project closure in 2011. 2012 ODS consumption data for the CEITs were made available only in the fourth quarter of 2013. On the basis of this data, the evaluation conducted in 2014 enabled to determine the impact of the project in terms of ODS phased out. Therefore, the three years gap appeared to be optimal to measure the effect of the project. In regard to availability of documentation, the NOU should be notified in advance about forthcoming evaluations and requested to keep all the project documentation in order for at least three years after the closure of the project.

VI. ANNEXES

Annex 1

TERMS OF REFERENCE[13]

Terminal Evaluation of the UNEP/GEF project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol"

1 Objective and Scope of the Evaluation

1. In line with the UNEP Evaluation Policy[14] and the UNEP Evaluation Manual[15], the evaluation of the Project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol" should be 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 evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and other partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the evaluation consultant as deemed appropriate:

a) To what extent did the project support the development and enforcement of national policies and mechanisms in Kazakhstan, Tajikistan, Uzbekistan and Azerbaijan to (i) address outstanding phase out, (ii) strengthen and improve the controls in place, and (iii) ensure that ODS phase out is sustained in the long term, as is expected under the Montreal Protocol?.

b) To what extent did the project contribute to:

- The development and implementation of adjustments of regulations for ODS import/export and labeling requirements for ODS and ODS containing-equipment;
- Enhanced ODS Licensing Mechanisms, with increased scope of elements for monitoring, flexibility (to adjust to changes in the Montreal Protocol Schedule) and cooperation between national players;
- Enhanced legislative and regulatory support for the ODS Licensing Systems;
- An enabling environment and training of the key stakeholders to enable them monitor status of development and implementation of certification of ODS users? Improved coordination and cooperation at the national and regional level on illegal trade of ODS; and
- Improved coordination and cooperation at the national and regional level on ODS stockpiling and disposal/destruction issues.

c) Was regional approach used by the project useful in promoting peer to peer learning, support and cooperation in terms of overall management of ODS and project execution?

[13] Annexes of the TORs have been removed to reduce the length of this report. They can be obtained from the Evaluation Office upon request.
[14] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[15] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx

2 Overall Approach and Methods

2. The terminal evaluation of the Project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol" will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with UNEP DTIE-OzonAction.
3. It 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 to determine project achievements against the expected outputs, outcomes and impacts.
4. The findings of the evaluation will be based on the following:
5. A **desk review** of project documents and others including, but not limited to:

- Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining to phase out, monitoring and control of ODS consumption;
- Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
- Project reports such as progress and financial reports from the executing partners to the Project Management Unit (PMU) and from the PMU to UNEP; Steering Committee meeting minutes; annual Project Implementation Reviews and relevant correspondence; and
- Documentation related to project outputs.

6. Interviews with:

- UNEP project management (DTIE-OzonAction) and Fund Management Officer (Nairobi); other staff as appropriate[16];
- Other relevant UNEP Divisions;
- Relevant staff of GEF Secretariat; and
- Representatives of other multilateral agencies and other relevant organisations.
- Members of NOUs and Customs teams
- Representatives of participating governments
- Members of Green Customs Initiative and ECA network.

7. Field visits to the participating countries.

3 Key Evaluation principles

8. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.
9. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring

[16] Christine Wellington, Elaine King (former FMO) Elaine.King@un.org , Faith Karuga and Laurent Gradier at GEF secretariat Lgrenier@worldbank.org

and evaluation systems; and (4) Complementarity with the UNEP strategies and programmes. The evaluation consultant can propose other evaluation criteria as deemed appropriate.

10. **Ratings.** All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 3 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
11. In attempting to attribute any outcomes and impacts to the project, the evaluators should consider the difference between *what has happened with and what would have happened without the project*. This implies that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. This also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
12. As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the "*Why?*" question should be at front of the consultant's mind all through the evaluation exercise. 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. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultant to explain "*why things happened*" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of "*where things stand*" today.

4 Evaluation criteria

5 Strategic relevance

13. The evaluation will assess, in retrospect, whether the project's objectives and implementation strategies were consistent with: i) Sub-regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation; and iii) the GEF Ozone operational programme.
14. It will also assess whether the project objectives were realistic, given the time and budget allocated to the project, the baseline situation and the institutional context in which the project was to operate.

6 Achievement of Outputs

15. The evaluation will assess, for each component (both regional and national), the project's success in producing the programmed deliverables, both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project objectives).

7 Effectiveness: Attainment of Objectives and Planned Results

16. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.
17. The evaluation will reconstruct the Theory of Change (ToC) of the project based on a review of project documentation and stakeholder interviews. The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) over outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called intermediate states. The ToC further defines the external factors that influence change along the pathways, whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control).
18. The assessment of effectiveness will be structured in three sub-sections:

a) Evaluation of the achievement of direct outcomes as defined in the reconstructed ToC. These are the first-level outcomes expected to be achieved as an immediate result of project outputs.
b) Assessment of the likelihood of impact using a Review of Outcomes to Impacts (ROtI) approach as summarized in Annex 8 of the TORs. Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as a result of the project's direct outcomes, and the likelihood of those changes in turn leading to changes in the natural resource base, benefits derived from the environment and human living conditions.
c) Evaluation of the achievement of the formal project overall objective and expected outcomes using the project's own results statements as presented in original log frame (see paragraphs 6-9 above) and any later versions of the log frame. This sub-section will refer back where applicable to sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F.

8 Sustainability and replication

19. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability.
20. Four aspects of sustainability will be addressed:

a) Socio-political sustainability. 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 main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
b) Financial resources. To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources17 will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
c) Institutional framework. To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behavior and environmental resources?
d) Environmental sustainability. Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

21. **Catalytic role and replication**. The *catalytic role* of GEF-funded interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP and the GEF also aim to

[17] Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

a) catalyzed behavioral changes in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established national and regional level;

   In addition, the evaluator should look at the impact of the project experience on GEF's approach to institutional and human capacity development.

b) provided incentives (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behavior;
c) contributed to institutional changes. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
d) The evaluator should consider how the skills gained in managing the project helped government capacity in other ways e.g fiscal, project management, awareness raising and community cooperation and overall compliance with international instruments.

22. *Replication*, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and appreciate to what extent actual replication has already occurred or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

9 Efficiency

23. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its programmed budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will give special attention to efforts by the project teams to 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 project efficiency all within the context of project execution in CEITs.

10 Factors and processes affecting project performance

24. **Preparation and readiness**. This criterion focuses on the quality of project design and preparation. Were project stakeholders[18] adequately identified? Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of

[18] Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed[19]?

25. **Project implementation and management**. This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
b) Evaluate the effectiveness and efficiency of project management by UNEP and how well the management was able to adapt to changes during the life of the project.
c) Assess the role and performance of the units and committees established and the project execution arrangements at all levels.
d) Assess the extent to which project management both at regional and national level responded to direction and guidance provided by the Steering Committee and UNEP supervision recommendations.
e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems. How did the relationship between the project management team (UNEP) and the national executing agencies develop?
f) Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.

26. **Stakeholder participation and public awareness**. The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The TOC analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and outcomes to impact. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

a) the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project?
b) the degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;
c) how the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in decision making in the transport sector.

27. **Country ownership and driven-ness.** The evaluation will assess the performance of government agencies involved in the project:

a) In how far has the Government assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project and the timeliness of provision of counter-part funding to project activities?
b) To what extent has the political and institutional framework of the participating countries been conducive to project performance?

[19] http://www.thegef.org/gef/node/4562

c) To what extent have the public entities promoted the participation of transport facility users and their non-governmental organizations in the project?
d) How responsive were the government partners to UNEP coordination and guidance (as Executing Agency), and to UNEP supervision (as Implementing Agency)?

28. **Financial planning and management**. Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
b) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
c) Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.
e) Analyze the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by UNEP to prevent such irregularities in the future. Appreciate whether the measures taken were adequate.

29. **UNEP supervision and backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:

a) The adequacy of project supervision plans, inputs and processes;
b) The emphasis given to outcome monitoring (results-based project management);
c) The realism and candor of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);
d) The quality of documentation of project supervision activities; and
e) Financial, administrative and other fiduciary aspects of project implementation supervision.

30. A question of particular interest here is whether the Implementing and Executing Agency functions of UNEP have been adequately separated to avoid conflicts of interest between project management and project supervision.

31. **Monitoring and evaluation**. The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will appreciate how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

32. *M&E Design*.[20] Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:

- Quality of the project log frame (original and possible updates) as a planning and monitoring instrument; analyze, compare and verify correspondence between the original log frame in the Project Document, possible revised log frames and the log frame used in Project Implementation Review reports to report progress towards achieving project objectives;
- SMART-ness of indicators: Are there specific indicators in the log frame for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
- Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

33. *M&E Plan Implementation*. The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

34. *Use of GEF Tracking Tools*. These are portfolio monitoring tools intended to roll up indicators from the individual project level to the portfolio level and track overall portfolio performance in focal areas. Each focal area has developed its own tracking tool[21] to meet its unique needs. Agencies are requested to fill out at CEO Endorsement (or CEO approval for MSPs) and submit these tools again for projects at mid-term and project completion. The evaluation will verify whether UNEP has duly completed the relevant tracking tool for this project (based on requirements at the time of project implementation), and whether the information provided is accurate.

11 Complementarities with UNEP strategies and programmes

35. UNEP aims to undertake GEF funded projects that are aligned with its own strategies. The evaluation should present a brief narrative on the following issues[22]:
36. *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using

[20] The evaluator should keep in mind the standard M&E practices promoted by UNEP/GEF at the time of project design.
[21] http://www.thegef.org/gef/tracking_tools
[22] The evaluator should bear in mind the context (transitions in UNEP policy and practice) and project design requirements at the time in which the project was developed.

the completed ToC/ROtI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognized that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy 2010-2013 (MTS)[23] would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist and it is still useful to know whether these projects remain aligned to the current MTS.

37. *Alignment with the Bali Strategic Plan (BSP)*[24]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
38. *Gender*. Ascertain to what extent project design, implementation and monitoring 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. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
39. *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

12 The Evaluation Team

40. For this evaluation, the evaluation team will consist of one consultant. The consultant should have experience in project evaluation; institutional capacity building aspects of ODS phase-out and monitoring, preferably in CEITs, and is fluent in English and Russian. The consultant will conduct the entire evaluation including data collection and analysis, preparation of the inception report and main report, and will ensure that all evaluation criteria are adequately covered.
41. By undersigning the service contract with UNEP/UNON, the consultant certifies that (s)he has not been associated with the design and implementation of the project in any way which may jeopardize his/her independence and impartiality towards project achievements and project partner performance. In addition, (s)he will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

13 Evaluation Deliverables and Review Procedures

42. The evaluator will prepare an **inception report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.
43. The review of design quality will cover the following aspects (see Annex 9 for the detailed project design assessment matrix):

- Strategic relevance of the project
- Preparation and readiness (see paragraph 25);
- Financial planning (see paragraph 30);
- M&E design (see paragraph 33(a));
- Complementarities with UNEP strategies and programmes (see paragraph 34);
- Sustainability considerations and measures planned to promote replication and upscaling (see paragraph 23).

[23] http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf
[24] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

44. The inception report will also present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* the most of the data collection (review of reports, in-depth interviews, observations on the ground etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.
45. The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified.
46. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.
47. The inception report will be submitted for review and approval by the Evaluation Office latest by 31st January 2013
48. **The main evaluation report** should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. In addition, the consultant will produce an executive summary in Russian to be shared with in-country stakeholders. The evaluator will deliver a high quality report in English by the end of the assignment. The report will follow the annotated Table of Contents outlined in Annex 1. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.
49. **Review of the draft evaluation report**. The evaluator will submit the zero draft report latest by 15 March 2014 and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the UNEP Task Manager, who will ensure that the report does not contain any blatant factual errors. The UNEP Task Manager will then forward the first draft report/executive summary in Russian to the other project stakeholders, in particular UNEP DTIE-OzonAction and the national executing agencies for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluator for consideration in preparing the final draft report.
50. The evaluator will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

51. **Submission of the final Terminal Evaluation report**. The final report shall be submitted by Email to:

Mike Spilsbury, Chief
UNEP Evaluation Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: (+254-20) 762 3387
Email: michael.spilsbury@unep.org

52. The Head of Evaluation will share the report with the following persons:

Maryam Niamir-Fuller, Director
UNEP/GEF Coordination Office
Nairobi, Kenya
Email: maryam.niamir-fuller@unep.org

Director
Division of Technology, Industry and Economics
15 rue de Milan
75441 Paris Cedex 09
France

Shamila Nair-Bedouelle, Chief
Ozonaction Branch
Division of Technology, Industry and Economics
15 rue de Milan
75441 Paris Cedex 09
France

53. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

54. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation team. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 4.

55. The UNEP Evaluation Office will also prepare a **commentary** on the final evaluation report, which presents the EO ratings of the project based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. These ratings are the final ratings that the UNEP Evaluation Office will submit to the GEF Office of Evaluation.

Annex 2

Terminal Evaluation of GEF/UNEP project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol"

Questionnaire

Вопросник в целях проведения оценки выполнения проекта ГЭФ-ЮНЕП «Продолжение институциональной поддержки в странах с переходной экономикой с целью выполнения обязательств по Монреальскому протоколу»

The questions as outlined below have been formulated reflecting the Terms of Reference of the terminal evaluation of the project which has been approved by the UNEP Evaluation Office and communicated to NOUs in 26 December 2013. The terminal evaluation has been carrying out according to Small Scale Funding Agreements as signed by representatives of UNEP and NOUs in the respective countries.

Ниже приведённые вопросы составлены на основании технического задания на проведение оценки (имеется только на английском языке), утверждённого Отделом оценки ЮНЕП и направленного Вам в письме от 26 декабря 2013. Данная оценка проводится в соответствие с соглашением о финансировании выполнения данного проекта, подписанного представителями ЮНЕП и Национального озонового офиса в вашей стране.

The questions are organized in several groups reflecting the objectives of the project and refer to National Ozone Units, representatives of Governmental institutions and other stakeholders involved.

Вопросы охватывают ряд областей и адресованы Национальному озоновому офису (НОО), а также представителям министерств, ведомств и других участников проекта, включая частный сектор.

I. Организация работы НОО

Questions in this section refer to organizational arrangements of NOUs, including sources of NOU financing, staffing, training and logistics of ozone offices.

1. В чём была причина, по вашему мнению, большой задержки с началом проекта?
2. Какие последствия имела эта задержка на функционирование НОО?
3. Когда был получен первый финансовый транш?
4. Что является основным источником финансирования НОО в вашей стране и в какой пропорции? (государственный бюджет, средства ГЭФ, контракты, другие источники)
5. Насколько своевременно НОО получил дополнительную поддержку по проекту от правительства?
6. Вы испытывали трудности с набором персонала для НОО?
7. Как изменился количественный и качественный состав НОО с начала проекта?
8. Проводились ли мероприятия по обучению персонала НОО?
9. Вы располагаете сейчас достаточным оборудованием и персоналом достаточной квалификации для работы в сфере ОРВ?

II. Роль Правительства, заинтересованных участников проекта и Национального межведомственного комитета (НМВК) по озону

This category of questions covers the role of the Government in the implementation of the project, establishment and composition of National Steering Committees (NSC,) and interaction of NOUs with NSCs and other stakeholders.

1. В какой степени Правительство приняло на себя ответственность и оказало поддержку проекту?
2. Как вовремя была предоставлена финансовая и другая помощь?
3. Насколько эффективно Правительство взаимодействовало с ЮНЕП как учреждением-исполнителем?
4. В какой степени участвовали неправительственные и общественные организации?
5. На каких принципах осуществлялся подбор участников проекта?
6. Учитывалась ли их мотивация и потенциальный вклад?
7. Вы испытывали трудности с формированием НМВК и, если да, то какие?
8. Какова роль и место НОО в государственной структуре управления?
9. Изменилась ли эта роль с началом выполнения проекта?
10. Имеет ли НОО доступ к лицам, принимающим решения?
11. В какой степени результаты проекта повлияли на процесс принятия решений в сфере охраны озонового слоя?
12. Как можно оценить уровень сотрудничества между НОО, участниками и НМВК?
13. Принимали ли участники проекта участие в принятии решений?
14. Насколько важен настоящий проект для выполнения обязательств страны по МП?

III. Управление процессом сокращения потребления ОРВ

This section covers the measures of Governments addressing their responsibilities in implementing national strategies on ODS phase out, including legislative and regulatory activities before and during the project directed on the restriction and ban of imports of ODS and ODS containing equipment, labeling requirements and certification of servicing personnel.

1. Какие действия Правительства указывают на приоритетное отношение к сокращению потребления ГХФУ?
2. В вашей стране принята национальная стратегия сокращения потребления и поэтапной ликвидации ОРВ, включая ГХФУ?
3. В вашей стране имеются планы организации деятельности по сокращению потребления и поэтапной ликвидации ОРВ. включая ГХФУ?
4. Имеются ли достаточные ресурсы для выполнения этой деятельности?
5. Приняты ли достаточные законодательные меры по ограничению потребления ОРВ и ГХФУ в особенности ?
6. Какие из этих мер были приняты в ходе выполнения проекта?
7. Укажите, какие из нижеперечисленных мер по регулированию потребления ОРВ приняты в вашей стране:
8. Обязательная регистрация импортёров ОРВ нет да когда введена

9. Введение системы лицензирования или разрешений на импорт ОРВ в коммерчески значимых количествах, включая ГХФУ нет да когда введена

10. Введение системы квотирования на импорт ОРВ в коммерчески значимых количествах, включая ГХФУ нет да когда введена

11. Введение системы разрешений на продажу, включая ГХФУ нет да когда введена

12. Действует ли система запрета на импорт в коммерчески значимых количествах ХФУ, Галонов, ЧХУ, МХФ, Бромистого метила? нет да когда введена

13. Действует ли система запрета на продажу в коммерчески значимых количествах ХФУ, Галонов, ЧХУ, МХФ, Бромистого метила? нет да когда введена

14. Действует ли система запрета на импорт:
    - Подержанных холодильников с ХФУ? нет да когда введена
    - Подержанных морозильников с ХФУ? нет да когда введена
    - Систем кондиционирования автомобилей с ХФУ? нет да когда введена
    - Чилеров с ХФУ? нет да когда введена
    - Аэрозольных упаковок с ХФУ, кроме дозируемых ингаляторов? нет да когда введена

15. Действует ли система запрета на продажу::
    - Подержанных холодильников с ХФУ? нет да когда введена
    - Подержанных морозильников с ХФУ? нет да когда введена
    - Систем кондиционирования автомобилей с ХФУ? нет да когда введена
    - Чилеров с ХФУ? нет да когда введена
    - Аэрозольных упаковок с ХФУ, кроме дозируемых ингаляторов? нет да когда введена

16. Введены ли требования на маркировку баллонов с ОРВ и оборудования, содержащего ОРВ? нет да когда введена

17. Введены ли следующие меры по контролю за выбросами:

    требования по квалификации персонала, занятого обслуживанием оборудования с ОРВ нет да когда введена

    законодательство по обязательному извлечению, рециркуляции и очистке ОРВ нет да когда введена

18. Обсуждалась ли система введение налогов и сборов на импорт ОРВ?

19. Существует ли учреждение, ответственное за обучение и сертификацию персонала, занятого обслуживанием оборудования с ОРВ нет да когда назначено

20. Какое число подобного персонала было обучено и сертифицировано за год?

21. Какие трудности и барьеры мешают проведению сертификации и существуют ли планы по преодолению этих барьеров?

22. В чём причины нарушения требований Монреальского протокола по графику вывода из употребления ГХФУ?

IV. Сбор обработка и представление данных по озону

This section is dealing with the system of collection, processing and reporting ODS consumption data and monitoring of ODS recovery and recycling activities including unwanted stockpiled material.

1. Каким образом данные по импорту ОРВ поступают в НОО из таможни?
2. Имеет ли НОО электронный доступ к базе данных по озону на таможне?
3. Как НОО подтверждает данные, полученные из таможни, например, сверяя их с данными, полученными от импортёров?
4. Какие доказательства можно привести в пользу достоверности предоставляемых данных?
5. Были ли трудности у НОО с получением данных и утверждением отчёта с данными перед представлением его в Секретариат по озону?
6. Проводилась ли работа по извлечению и рециркуляции ОРВ в течение длительности проекта?
7. Существует ли действенная система по мониторингу и представлению данных по извлечению и рециркуляции ОРВ?
8. Имеется ли обновляемая информация о наличии работающего оборудования по извлечению и рециркуляции ОРВ и его владельцев?
9. Собирает ли НОО информацию об извлеченные ОРВ, в дальнейшем использовании которых нет необходимости?
10. Существует ли национальная политика или подходы к её разработке по уничтожению неиспользуемых ОРВ?

V. Усовершенствование координации деятельности участников проекта по прекращению использования ОРВ

The questions in this section refer to improvement of coordination of NOU and stakeholder ODS phase out activities through participation in UNEP regional meetings and assessment of effectiveness of UNEP regional activities.

1. Какие новые проекты по прекращению использования ОРВ были сформулированы НОО в период получения поддержки от ГЭФ?
2. В чём проявлялось участие частного сектора в деятельности проекта по прекращению использования ОРВ в рамках данного проекта?
3. Из каких источников поступает информация об альтернативных ОРВ и технологиях уничтожения ОРВ? Как часто она обновляется?
4. По каким каналам эта информация доходит до потребителей?
5. Сколько и какие региональные совещания, организованные ЮНЕП, посетили НОО и другие участники проекта вашей страны?

6. Какую информацию получили участники региональных совещаний по альтернативным ОРВ и технологиям уничтожения ОРВ?
7. Насколько эффективным оказалось участие НОО в региональных мероприятиях ЮНЕП для выполнения национальной программы сокращения потребления ОРВ и повышения устойчивости и самодостаточности её результатов и будущего существования НОО?

VI. Роль таможенных служб

This section helps to assess the role and effectiveness of national Customs Authorities in control of imports of ODS and ODS containing equipment and collection of ODS import data as well as challenges they are facing in discharging their responsibilities.

1. Применяют ли сотрудники таможни оборудование, позволяющее гарантированно выявлять незаконные ОРВ на границе?
2. Располагают ли таможенные службы достаточным числом обученных сотрудников?
3. Как отражается ротация сотрудников таможни на готовности бороться с незаконной торговлей ОРВ?
4. Как организовано обучение новых сотрудников?
5. Какое законодательство действует в стране, позволяющее органам таможни бороться с незаконной торговлей ОРВ?
6. Применяются ли следующие санкции: возвращение ОРВ в страну происхождения; конфискация изъятых ОРВ; наложение штрафов на контрабандистов?
7. Уничтожаются ли впоследствии конфискованные ОРВ?
8. Насколько надёжна система сбора данных об импорте ГХФУ?
9. Какие выгоды таможенные службы вашей страны получили от реализации данного проекта?
10. В частности, чем было полезно участие НОО и представителей таможенных служб в совещаниях в рамках сети ЮНЕП (конкретные примеры)?
11. Применяются ли процедуры предварительного уведомления об экспорте ОРВ в импортирующие страны и насколько они эффективны в борьбе с нелегальной торговлей ОРВ?
12. Поддерживается ли связь НОО и таможенных служб вашей страны с соответствующими учреждениями в приграничных странах?

VII. Программа по повышению информированности (ППИ) участников проекта и общественности

This section is dealing with public awareness raising activities and dissemination of information on Montreal Protocol requirement, and ODS and their alternatives among stakeholders of the project.

1. Какова была целевая аудитория семинаров, организованных НОО по альтернативным ОРВ и методам уничтожения ОРВ?
2. Каковы практические результаты этих семинаров?
3. Что известно о дополнительных проектах по полному прекращению потребления ОРВ?
4. Помог ли данный проект в осознании выгод и проблем использования альтернативных озоно-безопасных веществ и технологий?
5. Если доказательства того, что экологическая культура и ответственность участников проекта и общественности повысилась в результате проведения ППИ?
6. Осознают ли участники проекта и общественность необходимость поддержки долгосрочных целей проекта?

VIII. Устойчивость результатов проекта

The questions in this section are related to different aspects of the sustainability of project results, including continuation of NOU activities after the closure of the project.

1. Существуют ли социальный, политический и финансовый риски, которые могут угрожать достигнутым результатам?
2. Есть ли риск в том, что реальной заинтересованности участников проекта будет недостаточно для сохранения достигнутых результатов?
3. Уделило ли Правительство политические приоритеты вопросам охраны окружающей среды и целям Монреальского протокола?
4. В какой степени долгосрочные результаты проекта зависят от продолжения финансовой поддержки?
5. Какова вероятность того, что финансовые и экономические ресурсы не будут предоставлены с окончанием поддержки со стороны ГЭФ?
6. Какова вероятность предоставления достаточных финансовых ресурсов для выполнения мер по прекращению потребления ГХФУ?
7. Позволит ли существующая институциональная и юридическая система сохранить достигнутые результаты проекта?
8. Имеется ли необходимая система прозрачности и отчётности?
9. Если доказательства того, что экологическая культура и ответственность участников проекта и общественности изменились и будут способствовать сохранению результатов проекта?
10. Существуют ли риски экологического характера способные подорвать достигнутые результаты?
11. Какова дополнительная польза от проекта с точки зрения получения позитивного опыта в управлении финансами, менеджмента и др. который удалось применить в других областях?

IX. Структура проекта и мониторинг выполнения

These questions are referring to project design and monitoring of its implementation.

1. Насколько хорошо были сформулированы концепция проекта по ОРВ в целом, а также под-проекты?

2. Проводились ли консультации во время разработки концепции проекта в целом с заинтересованными сторонами в стране (например, правительством, получателями помощи в частном секторе)?

3. Проводились ли консультации во время реализации под-проектов с заинтересованными сторонами в стране (например, правительством, получателями помощи в частном секторе)?

4. Как бы Вы оценили качество мониторинга / надзора со стороны учреждения-исполнителя в целом , а также с точки зрения обратной связи и её своевременности?

Annex 3

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Annex 4

1999 – 2006 GEF funding and co-financing for ODS phase out in Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan (million US $)

CEIT	Implementing Agency	GEF Grant	Co-financing	Total
Azerbaijan	UNDP-UNEP	7.045	2.226	9.271
Kazakhstan	UNDP-UNEP	5.433	0.748	6.181
Tajikistan	UNDP-UNEP	0.817	0.194	1.011
Uzbekistan	UNDP-UNEP	3.17	0.153	3.323
Total		**16.465**	**3.321**	**19.786**

ODS consumption in CEITs, on-compliance and duration of GEF ODS phase out and IS projects

Annex 5 - ODS consumption in CEITs, non-compliance and durattion of GEF ODS phase out and IS projects

Annex 4 CEIT ODS consumption and duration of GEF projects

			1986	1989	1990	1991	1992	1993	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005**	2006	2007	2008	2009	2010	2011	2012	Baseline	HCFC phase out schedule 2004-35%	2010-75%	2015-90%	2020-99.5%
Azerbaijan	A.I.	CFCs	480.6	480.6							456.5*	201.2	152.2	99.5	87.8	52	32	10.2	15.1	21.9	0	0	0	0	0	0	0	480.6				
	C. I.	HCFCs		1.4							5.1	0.5	0.2	0.8	0.4	0.1	0.1	0	0	0	0.9	0.8	0.8	3.5	0.3	7.63	3.52	14.9	9.68	3.72	1.49	0.075
	E.I	Methyl Bromide				2.8					0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2.8				
Kazakhstan	A.I	CFCs	1,206.20	1,394.60	1,214.30	1,205.60		2,218.20			825.6	668.9	1,025.50	730	523.9	290	112	30.4	11.2	0	0	0	0	0	0	0	0	1,206.20				
	C.I.	HCFCs		0.5	0.5	0.4		0.4			0.2	0.3	0.3	4.7	42.2	48.4	32.5	33.6	34.3	40	60.1	60.9	62.8	63	110	90.75	21.36	39.5	25.67	9.87	3.95	0.2
	E.I.	Methyl Bromide				15.6		5			2.1	1.2	18	13.2	16.9	0	0	0	0	0	19.8	60	66	67.2	0	6	0	15.6				
Tajikistan	A.I	CFCs	211	644.4		91.3				31.7	34.9	48.2	56.3	50.7	28	28.3	11.8	4.7	0	0	0	0	0	0	0	0	0	211				
	C.I.	HCFCs	0.6	0.7		1.1				0.7	1.2	1.7	1.8	1.6	0.7	1.1	0.8	1.2	3.1	3.5	3.6	3.8	3.9	2.6	2.8	2.9	3.03	18.7***	12.15	4.67	1.87	0.09
	E.I	Methyl Bromide	1.5	0		0.9				0	2.1	1.6	1.9	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0.9				
Uzbekistan	A.I	CFCs	1,779.20	2,454.50				585.3	250.1	293.8	260.3	53	119.8	52.8	41.7	15.3	0	0	0	0	0	0	0	0	0	0	0	1,779.00				
	C.I.	HCFCs		6				6.4	5.7	2.7	2.2	2.1	0.3	0.3	2.1	0.6	0.8	2.3	1.8	3.5	3.8	0.1	2.3	1.8	0.9	4.14	2.44	74.7	48.5	18.6	7.47	0.37
	E.I	Methyl Bromide				4.4					0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	4.4				

	Duration of GEF ODS Phase out projects
	Duration of GEF Continued IS Projects (Az-19 mths; Kzh-30 mths; Tjk-30 mths; Uz-20 mths)
	MSP for the initiation of the HCFCs phase-out activities
456.5*	ODS consumption data in red: CEIT is in non-compliance
2005**	MeBr zero consumption in A2 countries according to the Copenhagen Amendment
18.7***	In 2011, MOP 23 decided to revise HCFC baseline in Tajikistan (Dec. XXIII/28) from 6.0 to 18.7 ODP tonnes, thus avoiding potential non-compliance situation

Annex 6

The assessment of the Quality of Project Design

Relevance	Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?	The project and expected results will contribute to objectives of the UNEP DTIE OzonAction Programme. This Programme assists developing countries and countries with economies in transition (CEITs) to enable them to achieve and sustain compliance with the Montreal Protocol. The OzonAction Programme assists countries in making informed decisions about alternative technologies and ozone-friendly policies. Under the Programme, more than 1,000 projects and services have been implemented that benefited of more than 100 developing countries and 7 CEITs, plus other services that assisted another 40 developing countries.	Para 2 -10
Does the project form a coherent part of a UNEP-approved programme framework?	The project is part of Environmental Governance which is determined as one of the six thematic priorities of the 2010-2013 UNEP Medium Term Strategy and the Bali Strategic Plan for Technology Support and Capacity-building (the Bali Strategic Plan), which, amongst other matters, aims at a more coherent, coordinated and effective delivery of environmental capacity-building and technical support at all levels and by all actors, including UNEP, in response to country priorities and needs.	
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?	The Project is complimentary with the GEF regional MSP "Preparing for HCFC phase out in CEITs: needs, benefits and potential synergies with other MEAs" involving 14 CEITs, including those four under the project and three implementing agencies: UNEP, UNDP and the World Bank. This project was transformed later into two regional projects: "Initial Implementation of Accelerated HCFC Phase Out in the CEIT Region" being implemented by	

		UNDP in Belarus, Tajikistan, Uzbekistan, Ukraine and "Initiation of the HCFCs phase out and promotion of HFCs-free energy efficient refrigeration and air-conditioning systems" prepared by UNIDO and approved by GEF for Azerbaijan and the Russian Federation. UNIDO sub-project for Kazakhstan is awaiting the GEF approval subject to ratification of Copenhagen and Beijing amendments by the Government of Kazakhstan.	
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?	Yes, the four CEITs are Parties of the Montreal Protocol and its amendments, and therefore committed to phasing out of ODS according to the agreed schedule. The project was formulated on the basis of needs expressed by the respective governments.	Para 12 - 13
	ii) The UNEP mandate and policies at the time of design and implementation?	Yes, the objectives and strategies are consistent with 2010-2013 UNEP Medium Term Strategy and the Bali Strategic Plan.	
	iii) The relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)	The project is consistent with the following GEF Strategic Goals: 1) Reduce global climate change risks by stabilizing atmospheric GHG concentrations through emission reduction actions; 2) Promote the sound management of chemicals, ODS in particular, throughout their life cycle to minimize the effect on human health and global environments; 3) Build national and regional capacities and enabling conditions for global environmental protection and sustainable development.	
	iv) Stakeholder priorities and needs?	Yes, The project was formulated on the basis of needs expressed by the respective governments and other national stakeholders.	
Overall rating for Relevance		R	
Intended Results and Causality			
Are the objectives realistic?		The objectives in the project document and its annexes are formulated in general terms. Expected outputs in the Project Logframe are defined using qualitative indicators without clear quantitative benchmarks. The ODS consumption baseline and 2005 data are not accurately	Annex 2A: Project Logframe Annex 2B: Project Implementation Plan: Timeline Annex 5a: Monitoring, progress

	presented in Para4 of the Project Document and lacking a critical analysis of the forthcoming MP phase out schedule. The first 2008 PIR determined the end-of-project target as "Total phase out of CFCs and MeBr, and HCFC phase out at a minimum of 35% of baseline by 2010(current project closure date). " This target did not reflect adequately the MP requirements. The MP established zero MeBr consumption for A2 in 2005. The HCFC phase out target was based on the outdated MP requirements. In 2007, the HCFC phase out schedule for A2 countries was accelerated from 65% to 75% reduction by January 2010 with 90% reduction in 2015. The total CFC phase out target, though, appears to be realistic. MeBr consumption was zero in 2005 in Kazakhstan. However, Kazakhstan reported MeBr consumption in 2006, 2007, 2008, and 2009 and in 2011. HCFC phase out target was questionable due to the delay with the start up and subsequent extension of the completion of the project until 2011. Kazakhstan has been technically in non-compliance with HCFC targets since 2005 until now. HCFC consumption data reported by Azerbaijan do not appear to be reliable.	reporting, and evaluation plan Table 2: Description and timing of expected outputs by project component and objectives
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behavior] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?	The project was formulated at the time when ToC was not yet developed and operationalized. The project logframe contains: the list of activities; project outputs; indicators (without specific timelines); means of verifications (country work plan reports, A7 ODS data reports and MP IC reports which could register the impact); and assumptions (some of them which can be interpreted as complementary drivers). The project is formulated within a regional framework dealing with countries of different background, institutional structure and baseline. It was expected that separate specific national activities with detailed timelines will be developed in the	

	context of the country-specific sub-project documents and work planning at the national level and serve as tools of monitoring the progress. In PIR 2008, 2009 and 2009, the reports on the implementation of national work plans were analyzed in terms that are more close to ToC. The project was executed nationally with supervision from UNEP DTIE TM and UNEP GEF FM.	
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?	Neither the project logframe nor 2007-2010 project implementation timelines (PIT) reflect the timeframe for the implementation of planned activities and achievement of expected outcomes.PIT indicates to M&E tools and respective M&E activities timelines. PIT became not much relevant due to the severely delayed start up of the project. Duration in Azerbaijan and Uzbekistan was reduced to 19 and 20 months respectively vs. 30 months planned. The lack of benchmarks and timelines was rectified at the later stage in work plans formulated by NOUs themselves in HYPR taking into account their local priorities and existing capabilities.	
Are the activities designed within the project likely to produce their intended results?	The activities proposed are similar to NOU terms of reference as approved in past IS projects. Proposed activities respond also to the list of needs expressed by countries and presented to UNEP. However, the implementation of Sub-activity 2(iv): Further elaboration of an ODS emission regulations and Sub-activity 2(v): Establishment of a system/ completion of certification of refrigeration technicians and other users of ODS would have required funding for additional recovery and recycling, and training equipment, and additional training and retraining of refrigeration servicing personnel. The proposed budget does not include the necessary allocations to implement such activities.	
Are activities appropriate to produce outputs?	Not completely. The outputs reported in HYPRs have been calibrated against proposed activities in 2008, 2009 and 2010 PIRs.	

Are activities appropriate to drive change along the intended causal pathway(s)?	Proposed activities have been translated into a number of outputs producing positive outcomes in each country. Some of proposed activities could not be implemented to generate expected outputs due to limited capabilities of NOUs and lack of funding.	
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?	No. The project was formulated at the time when ToC was not yet developed and operationalized. PIR format requirements resulted in establishing interlinkages in a number of casual pathways.	
Overall rating for Intended Results and causality	MS	
Efficiency		
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?		
Does the project intend to 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 project efficiency?	This project is to provide the second phase of support to institutional strengthening and capacity building of the NOUs and stakeholders in four CEITs. To great extent, the project hinges upon the results of the first phase of IS support for these countries when NOUs were created and connections with stakeholders were established. The institutional NOU continuity was well observed in Tajikistan and Uzbekistan, and partially in Kazakhstan. Unfortunately, NOU in Azerbaijan had virtually ceased to exist after completion of the first phase of the IS support in 2002. The project sought to use partnerships with UNEP OzonAction in the area of Green Customs and the Article 5 (A-5) Europe and Central Asia (ECA) Network (funded bilaterally and by the Multilateral Fund (MLF). The project includes support for the four CEITs as A-2 countries to participate in these broader regional activities. UNEP, retaining both the Network for Eastern Europe and Central Asia (ECA) and the Green Customs Programme of its DTIE, should provide the opportunity for incorporating the CEITs into the regional activities to promote coordination on illegal trade, ODS stockpiling/destruction and any other regional or	

	transboundary issues. It should be noted that Networks also permit cooperation and exchange of lessons-learned on national activities such as incorporation of NOU function into the institutional infrastructure, certification systems, legislation etc., as well as to incorporate issues related to the work of other implementing agencies in the region. All the above mentioned arrangements increased efficiency of the project.	
Overall rating for Efficiency	S	
Sustainability / Replication and Catalytic effects		
Does the project design present a strategy / approach to sustaining outcomes / benefits?	The design of this project pursues the post-project sustainability of benefits through national specific activities such as: the placement of an enhanced ODS licensing mechanism in countries, with increased scope of elements for monitoring, flexibility (to adjust to changes in the Montreal Protocol Schedule);cooperation between national players; enhanced legislative and regulatory support for the ODS licensing systems; and through regional activities: improved coordination and cooperation at the national and regional level on illegal trade of ODS; and improved coordination and cooperation at the national and regional level on ODS stockpiling and disposal/ destruction issues. The achievement of the expected outcome formulated as "Development and enforcement of national policies and mechanisms able to achieve long-term phase out, monitoring and control of ODS consumption in the countries in the face of ever-increasing phase out restrictions of the Montreal Protocol" does not appear to be attainable under this project. Kazakhstan is in non-compliance with HCFC phase out targets since 2005. Azerbaijan was in non-compliance in 2011. The compliance with 2015 90% reduction of HCFC consumption is problematic for all the four countries and cannot be achieved	

	only with capacity building assistance. These countries require additional assistance, which has been providing through another GEF projects including investment components addressing HCFC consuming industry needs.	
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?	In developing SSFPs, the NOUs required to identify National Committees, execution partners (private and public sector), work planning, and initial strategy whereby enhancing national ownership and ensuring post-project sustainability of the NOU work. It was understood that results obtained would be "at risk' unless obligations are built into agreements to make it mandatory for recipient governments to integrate the NOU functions (with budget lines) into their ongoing national treasury funded government activities. This would ensure that there is no dismantling of the NOU or the NOU function once outside funding ends. This did occur in Azerbaijan, and it is crucial that this scenario be avoided in the future However, apart from gaining commitment and a promise of goodwill from countries, UNEP has not discerned a way to legally mandate that countries integrating the NOU into the national treasury lines. This remains a point of concern for the GEF and UNEP. However, the training, awareness activities and capacity-building elements are proposed in the project along with the inclusion of elements for networking to build long-lasting ties between stakeholders within and between countries. It is the aim of the project that the sub-region as a whole would form the necessary ties to find a cost-effective way to continue work relying on national and sub-regional expertise for long-term control of ODS.	
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?	As mentioned in the previous section the risk exists that NOU functions might be abandoned once outside funding ends. This risk is minimal, however, since in April 2008, GEF approved	

	regional medium-scale project (RMSP): Preparing for HCFC Phase out in the CEITs including Azerbaijan, Kazakhstan, Tajikistan and Uzbekistan. The project covered development of National Strategy outlines for phase-out of HCFCs. This involves inventorying sources of imports and end users, followed by survey at the sectoral, enterprise/end user levels, country-specific assessment and analysis of phase-out options that could form the basis of cost-estimated HCFC phase-out strategy. At the later stage funding were provided for continued capacity building in Azerbaijan, Tajikistan and Uzbekistan. The approval of the Project for Kazakhstan by GEF was suspended subject to ratification of the Copenhagen amendment.	
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?	This risk is small in Azerbaijan, Tajikistan and Uzbekistan since GEF projects are under implementation in these countries now. The MP IC is closely monitoring the situation in Kazakhstan. The XXV MOP requested Kazakhstan to prepare the action plan to bring the country to compliance. The approval of the action plan is usually accompanied by the MOP request to a funding agency (GEF) to provide appropriate financial support.	
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?	UNEP and respective NOUs signed SSFAs with annexes that provided the institutional frameworks, governance structures and processes, legal and accountability frameworks as well as reporting and monitoring procedures. All these instruments are designed to ensure the sustainability of project results.	
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?	The prime objective of the project is to phase out ODS that harmfully affect the ozone layer. The geophysical observations indicate to the stabilization of the ozone concentration in the stratosphere. It has a positive effect on the sustainability of project benefits.	

Does the project design foresee adequate measures to catalyze behavioral changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches show-cased by the demonstration projects;	The project is a continuation of a similar GEF IS support in the four countries and applies comparable set of measures in communication with stakeholders involved.	
	ii) strategic programmes and plans developed	The NOUs developed their national work plans on the basis of strategic objectives formulated in the project documents.	
	iii) assessment, monitoring and management systems established at a national and sub-regional level	Assessment and monitoring system is based on HYPR and yearly reports submitted to TM and FM by NOUs, and annual PIRs prepared by TM and submitted to GEF Secretariat.	Annex 5 of the project document
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]		The institutional changes are required by the project and driven by essential role of national environmental institutions and customs authorities related to control of ODS and equipment using ODS.	
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?		It is mandatory for the Governments that are the Parties to the Montreal Protocol to embrace new policies and regulations reflecting the evolving regime of the MP. The project is to assist the Governments of the four CEITs in adoption and enforcement of new policies and regulations.	
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?		Under the project, the governments provide co-financing for the set up and operation of NOUs which is complementary to the GEF assistance. The GEF expressed its willingness to continue its support to capacity building in the future as well as respective Governments in the four CEITs.	
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not achieve all of its results)?		SSFA requires creation of national steering committees and nomination of individuals representing the institutions involved, thou, creating opportunities for particular individuals.	
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?		The results and the level of ownership achieved will be facilitating factor in future GEF activities on HCFC phase out in the four CEITs.	
Overall rating for Sustainability / Replication and Catalytic effects		ML	

Risk identification and Social Safeguards		
Are critical risks appropriately addressed?	The UNEP/DGEF Guidelines for the risk management process and risk factor tables (RFT) are a part of the project document. The DGEF Risk Management Analysis was used to identify potential areas of risk for the projects. Contrary to Guidelines, NOUs have not been engaged in determining the risk factors. The RFT are included into annual PIRs which are filled by the TM using HYPR delivered by NOUs. Once RFT are completed, they along with the appropriate reporting forms were used to determine the risk scenarios. The low, medium and high risk acted as a way of highlighting the appropriate level of performance for any given task to be deemed successful. This assessment of risk was also used by the TM to propose the necessary risk mitigation measures. The excessive consumption of HCFCs and MeBr in Kazakhstan was identified in PIRs but not specifically addressed because formally IC could not qualify Kazakhstan in non-compliance unless the country ratifies the Copenhagen amendment. The risk of potential non-compliance of Tajikistan with 2010 75% HCFC reduction target was not identified in project documentation and PIRs. The non-compliance was avoided through legal actions undertaken by NOU and the Government with assistance from UNDP in changing the HCFC consumption baseline from 5.9 to 18.7 ODP tonnes.	
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?	Assumptions as defined by the modern ToC have not been used by GEF and UNEP in project design at the time of project development.	
Are potentially negative environmental, economic and social impacts of projects identified?	The negative environmental impact might be identified as unwanted ODS emissions due to delays in start up of the project and non-compliance of Kazakhstan and Azerbaijan.	
Overall rating for Risk identification and Social Safeguards	MS	

Governance and Supervision Arrangements		
Is the project governance model comprehensive, clear and appropriate?	The project assigns the role of the Executing Agency to NOUs in cooperation with national steering committees. UNEP DTIE TM and DGEF FM with the support of the international steering committee play a supervisory role.	
Are roles and responsibilities clearly defined?	The project document and SSFAs establish the roles and responsibilities all the entities involved in the governance and supervision arrangements.	
Are supervision / oversight arrangements clear and appropriate?	Yes	
Overall rating for Governance and Supervision Arrangements	S	
Management, Execution and Partnership Arrangements		
Have the capacities of partners been adequately assessed?	The assessment of NOU capacities before the project was not a part of the project design. Thus, due to the lack of external support for about seven years, the capacity of NOU in Azerbaijan was very week. This caused a significant delay in the preparation and signature of its SSFA and delay in the start up of the project as a whole.	
Are the execution arrangements clear?	Yes	
Are the roles and responsibilities of internal and external partners properly specified?	Yes	
Overall rating for Management, Execution and Partnership Arrangements	MS	
Financial Planning / budgeting		
Are there any obvious deficiencies in the budgets / financial planning?	The implementation of Sub-activity 2(iv): Further elaboration of an ODS emission regulations and Sub-activity 2(v): Establishment of a system/ completion of certification of refrigeration technicians and other users of ODS would have required funding for additional recovery and recycling, and training equipment, and additional training and retraining of refrigeration servicing personnel. The successful implementation of Sub-activity 5(ii): Cooperation in the field with Customs in the control of ODS import/export would require new refrigerant identifiers and training for custom officers. The proposed budget does not include the appropriate allocations in regard to activities 2(iv); 2(v); and 5(ii). Tajikistan indicated in its HYPRs	

	the lack of sufficient funding in the budget to implement several of planned activities. No complaints regarding budgets or financial planning were expressed by other NOUs.	
Is the resource utilization cost effective? Is the project viable in respect of resource mobilization potential?	There is no specific cost-effectiveness benchmark for IS projects. The GEF allocated moderate resources to the project. NOUs succeeded to accomplish most of planned activities. The project demonstrated a viable utilization of resources.	
Are the financial and administrative arrangements including flows of funds clearly described?	Yes	
Overall rating for Financial Planning / budgeting	MS	
Monitoring		
Does the logical framework: • capture the key elements of the Theory of Change for the project? • have 'SMART' indicators for outcomes and objectives? • have appropriate 'means of verification'? • identify assumptions in an adequate manner?	The project was formulated at the time when ToC was not yet developed and operationalized. The project logframe contains: project outputs broken down to activities. Indicators of output success are qualitative, not measurable and without specific timelines attached. Means of Verification column indicates to document sources but not to specific timeframe or performance indicators. It appears that the concept of use of SMART indicators were not in place when this project was designed Annex 5 Table 2: Description and timing of expected outputs by project component and objectives refers to the whole original duration of the project July 2007 – December 2009 and cannot serve as a verification tool. Assumptions in the Logframe are not properly specified as factors affecting achievement of project results that are beyond the control of the project. The country work plan progress reports were registered as outputs in HYPRs and used as means of verification of the progress and then were calibrated against ProDoc proposed activities and A7 ODS data reports. This information was reported in 2008, 2009 and 2010 PIRs.	
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?	The lack of measurable performance indicators makes monitoring and accounting of results obtained rather difficult.	

	More concrete and quantitative planning of results would allow for a more profound assessment of real conditions and, therefore, a more realistic appraisal of the activities planned and performed. The baseline is determined through the constantly cross-checked Article 7 data reporting mandated of all Parties to the Montreal Protocol. This data is maintained by the Ozone Secretariat in Nairobi, and the ODS consumption data of any given year is submitted annually by September 30 of the following year. The Secretariat also keeps sight of abnormal reporting figures by cross-checking reported import with the export reports of other countries. Therefore there is good confidence in the setting of baselines and yearly consumption figures. Similarly, details on the ODS Licensing Systems of countries must be submitted to the Implementation Committee of the Montreal Protocol, as well as issues of illegal trade and other issues. This provides a dual method of gathering information on the ability of countries to remain in compliance.	
Is there baseline information in relation to key performance indicators?	The attribution of outcomes and impact to the project requires consideration of the difference between the quantitative or qualitative baseline levels, targets and after project situation. The comparison of ODS consumption in 2005 as the baseline (even not accurately registered in the project document) with reported consumption in subsequent years of the project was the only measurable indicator used for the assessment of the project performance. The ODS consumption baseline was determined through the constantly Article 7 data reporting mechanism. This data are maintained by the Ozone Secretariat in Nairobi, and the ODS consumption data of any given year is submitted annually by September 30 of the following year. The Secretariat also keeps	

	sight of abnormal reporting figures by cross-checking reported import with the export reports of other countries. Therefore, there is good confidence in the setting of baselines and yearly consumption figures. Apart from baseline ODS consumption the project did not establish the baseline status of NOU, available legislative instruments controlling ODS, licensing and quota system, ODS data collection system, prerequisites for establishing certification system, ODS emission control system, status of illegal trade and others. The information about baseline status of project components would be essential for the formulation of the appropriate performance indicators.	
Has the method for the baseline data collection been explained?	Yes, but only for ODS consumption data.	
Has the desired level of achievement (targets) been specified for indicators of outcomes and are targets based on a reasoned estimate of baseline?	Yes, but only for ODS consumption data.	
Has the time frame for monitoring activities been specified?	Yes, HYPRs must be submitted every 6 months and financial reports every 3 months.	
Are the organizational arrangements for project level progress monitoring clearly specified?	Yes, in Annex 5.	
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?	No. Monitoring has been undertaken by TM, FM and NOU.	
Overall, is the approach to monitoring progress and performance within the project adequate?	Not quite.	
Overall rating for Monitoring	MS	
Evaluation		
Is there an adequate plan for evaluation?	The plan envisaged mid-term review and terminal evaluation. The mid-term review did not materialize since the project duration was reduced from 30 to 20 months.	
Has the time frame for evaluation activities been specified?	Yes.	
Is there an explicit budget provision for midterm review and terminal evaluation?	Yes	
Is the budget sufficient?	Yes	
Overall rating for Evaluation	S	

Rating scales

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

ANNEX 7

BUDGET IN UNEP FORMAT

UNEP NON-INVESTMENT COMPONENT				GEF FINANCING				CO-FINANCING (cash)				CO-FINANCING (in-kind)				
				2007 US$	2008 US$	2009 US$	Total US$	2007 US$	2008 US$	2009 US$	Total US$	2007 US$	2008	2009	Total	Project total US$
10	**PROJECT PERSONNEL**															
	1200	**Consultants**														
		1201	Russian Translation of Green Customs Manual	5,000	5,000	5,000	15,000	0	0	0	**0**	0	0	0	**0**	15,000
		1202	Resource persons for Regional Meetings	4,000	8,000	8,000	20,000	0	0	0	**0**	0	0	0	**0**	20,000
		1299	**Sub-Total**	**9,000**	**13,000**	**13,000**	**35,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**35,000**
	1600	**Travel on Official Business**														
		1601	Staff travel to meetings and workshops	10,000	10,000	10,000	30,000	0	0	0	**0**	0	0	0	**0**	30,000
		1699	**Sub-Total**	**10,000**	**10,000**	**10,000**	**30,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**30,000**
	1999	**Component Total**		**19,000**	**23,000**	**23,000**	**65,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**65,000**
20	**SUB-CONTRACT COMPONENT**															
	2200	**Sub-Contracts with supporting organisations (IS support for Government bodies through sub-project)**														
		2201	Kazakhstan (1)	195,000	0	0	195,000	0	0	0	0	5,000	12,500	12,500	30,000	225,000
		2202	Tajikistan (2)	170,000	0	0	170,000		8,495	8,495	16,990	0	0	0	0	186,990
		2203	Uzbekistan (3)	170,000	0	0	170,000	3,250	8,125	8,125	19,500	1,750	4,375	4,375	10,500	200,000
		2204	Azerbaijan (4)	150,000	0	0	150,000	0	0	0	0	10,200	10,200	10,200	30,600	180,600

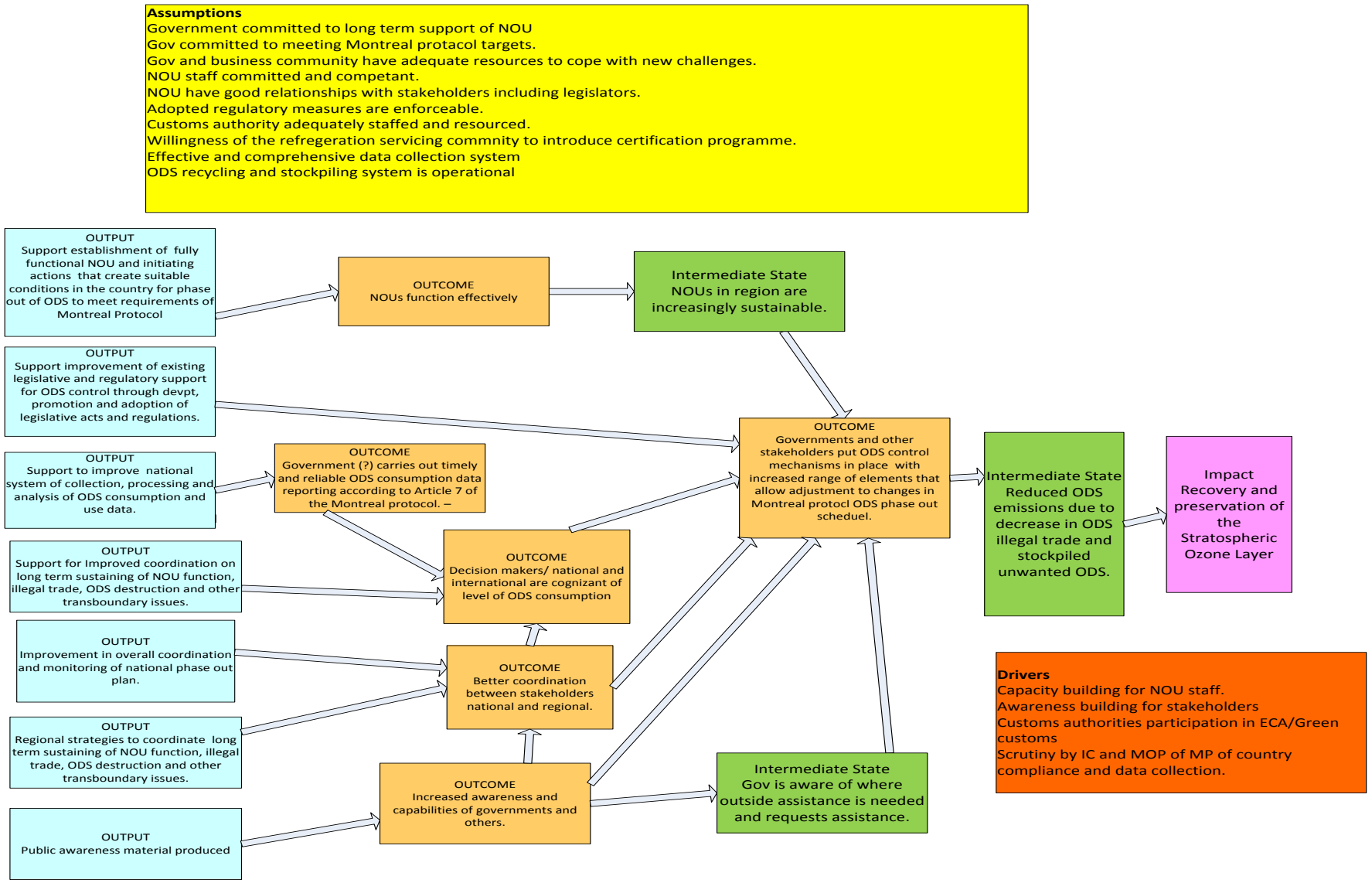
		2299	**Sub-Total**	**685,000**	**0**	**0**	**685,000**	**3,250**	**16,620**	**16,620**	**36,490**	**16,950**	**27,075**	**27,075**	**71,100**	**792,590**
	2300	**Sub-contracts with commercial organisations (post-harvest training providers)**														
		2301	Training Equipment (5)	0	0	0	**0**	0	0	0	**0**	150	150	150	450	450
		2399	**Sub-Total**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**150**	**150**	**150**	**450**	**450**
	2999	**Component Total**		**685,000**	**0**	**0**	**685,000**	**3,250**	**16,620**	**16,620**	**36,490**	**17,100**	**27,225**	**27,225**	**71,550**	**793,040**
30	**TRAINING COMPONENT**															
	3200	**Group-Training**														
		3201	Green Customs Training (6)	0	0	0	**0**	0	0	0	**0**	0	0	0	**0**	0
		3299	**Sub-Total**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**
	3300	**Meetings/Conferences**														
		3301	Regional Network Meetings (7)	15,000	15,000	15,000	45,000	100,000	100,000	100,000	300,000	0	0	0	**0**	345,000
		3399	**Sub-Total**	**15,000**	**15,000**	**15,000**	**45,000**	**100,000**	**100,000**	**100,000**	**300,000**	**0**	**0**	**0**	**0**	**345,000**
	3999	**Component Total**		**15,000**	**15,000**	**15,000**	**45,000**	**100,000**	**100,000**	**100,000**	**300,000**	**0**	**0**	**0**	**0**	**345,000**
50	**MISCELLANEOUS COMPONENT (8)**															
	5100	**Operation and Maintenance of Equipment**														
		5101	Rental of computer, LCD equipment for meetings		1,000	1,000	2,000	0	0	0	**0**	0	0	0	**0**	2,000
		5102	Rental of copiers for meetings		1,000	1,000	2,000	0	0	0	**0**	0	0	0	**0**	2,000

		5199	**Sub-total**		**2,000**	**2,000**	**4,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**4,000**
	5200	**Reporting Costs**														
		5201	Production of additional training/awareness materials		5,000	5,000	10,000	0	0	0	**0**	0	0	0	**0**	10,000
		5299	**Sub-total**		**5,000**	**5,000**	**10,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**10,000**
	5300	**Sundry**														
		5301	Miscellaneous	2,000	2,000	2,000	6,000	0	0	0	**0**	0	0	0	**0**	6,000
		5399	**Sub-total**	**2,000**	**2,000**	**2,000**	**6,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**6,000**
	5500	**Evaluation (consultants fees/travel/DSA/Admin support**														
		5501	**Mid-Term & Final Evaluation**		**10,000**	**10,000**	**20,000**									
		5599		**0**	**10,000**	**10,000**	**20,000**									
	5999	**Component Total**		**2,000**	**19,000**	**19,000**	**40,000**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**0**	**20,000**
99	**TOTAL UNEP NON-INVESTMENT**			**721,000**	**57,000**	**57,000**	**835,000**	**103,250**	**116,620**	**116,620**	**336,490**	**17,100**	**27,225**	**27,225**	**71,550**	**1,243,040**

Notes: (1) Kazakhstan has provided US$ 30,000 in-kind contribution through use of already established premises, office support etc. (2) Tajikistan has indicated by detailed budget that it will pay in-cash US$ 16,989 for rental or premises, utilities, local transportation, guarding and upkeep of premises. (3) Uzbekistan has indicated it will provide US$ 30,000 co-finance in total, in-cash (65%) and in-kind (35%). (4) (5) Azerbaijan has indicated it has no cash available, but can provide US$ 31,050 in-kind, including a plan to re-start training under its renewed IS using equipment already in hand. (6) Taken care of by associated funding of the Green Customs Initiative (US$ 728,181). (7) UNEP OzonAction portion of total US$ 1.1 million budget for ECA activities that are organized annually with the Article 2 countries included (1 Regional Meeting, 1 Thematic meeting, and 2 Contact group meetings). (8) See M&E section which explains that operational monitoring will take place at the country level, and the M&E budget has been pulled out of the county allocations. Oversight is a part of the duties of the UNEP Task Manager at no additional cost to the project

Annex 8

Reconstructed Theory of Change



Annex 9

Brief resume of the consultant

Valery Smirnov was awarded a diploma of mechanical engineer from the Moscow Institute of Chemical Engineering in 1966.

From 1993 to 1995 he studied in McGill University in Montreal on Management Certificate Program.

From 1966 to 1973, he worked in the Research Center on Cryogenics and Low Temperatures in Moscow, Russian Federation as a researcher on properties of cryogenic fluids, heat-transfer characteristics of materials used in low temperature applications, including insulation and as an engineer on the design of systems for the liquefaction of helium and hydrogen.

In 1973, he joined the department of international cooperation in the State Committee of the Russian Federation on Hydrometeorology and Control of Natural Environment. From 1973 to 1990, he has worked on a variety of international projects having been implemented in cooperation with WMO, UNEP and other international organizations as well as bilateral agreements in areas of atmospheric pollution, climate, ozone research and observations, technical cooperation and training.

In 1990 and 1991, he worked as an Executive Secretary of the Inter-ministerial Ozone Committee of the Russian Federation.

From 1992 to 2005, Valery Smirnov has worked in the Secretariat of the Multilateral Fund for the Implementation of the Montreal Protocol in Montreal as a programme officer (engineer), environmental affairs officer and senior programme officer dealing with a diversity of political, technological and managerial issues associated with ODS phase-out activities in developing countries.

Since 2005, Valery Smirnov is an international consultant on evaluation of ODS phase out projects, policy and technical analysis of environmental issues.

UNEP Evaluation Report Quality Assessment

Evaluation Report Title: **Terminal Evaluation of the UNEP/GEF project "Continued Institutional Strengthening Support for CEITs to meet the obligations of the Montreal Protocol"**

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

Substantive report quality criteria	UNEP EO Comments	Draft Report Rating	Final Report Rating
1. A. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention?	Yes, very thorough	5	6
2. B. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Described in detail.	5	6
C. Presentation Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Good	5	5
D. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Yes	5	6
E. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Sustainability ratings should be based on the ability of the initiative to continue without external support. Should consider revising ratings.	4	5
F. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency?	Yes	5	6
G. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Yes	5	6
H. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?)'. Can	Very useful. Some editing/addition of recommendations needed in final draft.	4	5

they be implemented?			
I. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Useful. Some editing needed to final draft.	4	6
Other report quality criteria			
J. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Very good. Some edits needed to finalise.	**4**	**6**
K. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Very good. Some edits needed to finalise.	**4**	**5**
L. Quality of writing: Was the report well written? (clear English language and grammar)	Good. Some few errors as English is not his first language. Some edits and clarifications to be made.	4	4
M. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Excellent. Need to incorporate project design assessment matrix and other key findings from inception report.	5	6
	OVERALL REPORT QUALITY RATING	4.5	5.5

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

2. Checklist of compliance with UNEP EO's normal operating procedures for the evaluation process

Compliance issue	Yes	No
1. Were the TORs shared with the implementing and executing agencies for comment prior to finalization?	X	
2. Was the budget for the evaluation agreed and approved by the UNEP Evaluation Office?	X	
3. Was the final selection of the preferred evaluator or evaluators made by the UNEP Evaluation Office?	X	
4. Were possible conflicts of interest of the selected evaluator(s) appraised? (Evaluators should not have participated substantively during project preparation and/or implementation and should have no conflict of interest with any proposed follow-up phases)	X	
5. Was an inception report delivered before commencing any travel in connection with the evaluation?	X	
6. Were formal written comments on the inception report prepared by the UNEP Evaluation Office and shared with the consultant?	X	
7. If a terminal evaluation; was it initiated within the period six months before or after project completion? If a mid-term evaluation; was the mid-term evaluation initiated within a six month period prior to the project/programmes's mid-point?		X
8. Was the draft evaluation report sent directly to EO by the evaluator?	X	
9. Did UNEP Evaluation Office check the quality of the draft report, including EO peer review, prior to dissemination to stakeholders for comment?	X	
10. Did UNEP Evaluation Office disseminate (or authorize dissemination of) the draft report to key stakeholders to solicit formal comments?	X	
11. Did UNEP Evaluation Office complete an assessment of the quality of the draft evaluation report?	X	
12. Were formal written stakeholder comments sent directly to the UNEP Evaluation Office?	X	
13. Were all collated stakeholder comments and the UNEP Evaluation Office guidance to the evaluator shared with all evaluation stakeholders?	X	
14. Did UNEP Evaluation Office complete an assessment of the quality of the final report?	X	
15. Was an implementation plan for the evaluation recommendations prepared?	X	

Comments in relation to any non-compliant issues:
Project was completed in Dec 2011 and the evaluation was initiated in Oct 2012. SSA for consultant started in Jan 2013.