



**United Nations Environment Programme**

**Terminal Evaluation of the UNEP Project 53-P5  
"Managing Harmful Substance and Hazardous Waste through the Global  
Programme of Action in support of Regional Seas Agreements"**

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## Project Identification Table

<b>UNEP PIMS ID:</b>	53-P5 (01045)	<b>IMIS number:</b>	3B72
<b>Sub-programme:</b>	1151 Harmful Substances and Hazardous Waste and Resource Efficiency	<b>Expected Accomplishment(s):</b>	EA (2010-2011) EA (2012-2013) EA b (2014-2015)
<b>UNEP approval date:</b>	14/10/2009	<b>PoW Output(s):</b>	536 (2010-2011) 532 (2012-2013) 534 (2012-2013) 525.1 (2014-2015)
<b>Expected Start Date:</b>	July 2010	<b>Actual start date:</b>	23 December 2010
<b>Planned completion date:</b>	Dec 2011	<b>Actual completion date:</b>	September 2014 (PIMS reporting to Dec 2014)
<b>Planned project budget at approval:</b>	USD\$ 4,314,340	<b>Total expenditures reported as of 16 Feb 16:</b>	US\$ 1,688,493
<b>Planned Environment Fund (EF) allocation:</b>	US\$ 0 (Project document)	<b>Actual EF expenditures reported as of 16 Feb 16:</b>	US\$ 8,600 <sup>1</sup>
<b>Planned Extra-budgetary financing (XBF):</b>	\$ 4,314,340	<b>Actual XBF expenditures reported as of 16 Feb 16:</b>	US\$ 1,679,893
<b>XBF secured:</b>	US\$ 1,714,452	<b>Leveraged financing:</b>	NA
<b>First Disbursement:</b>	July 2011 <sup>2</sup>	<b>Date of financial closure:</b>	Not yet closed
<b>No. of revisions:</b>	2	<b>Date of last revision:</b>	March 2014
<b>Date of last Steering Committee meeting:</b>	NA		
<b>Mid-term review/ evaluation (planned date):</b>	UNEP 53-P5 Project N/A  GEF-funded Global Nutrient Cycling (GNC) Project - End 2013 <sup>3</sup>	<b>Mid-term review/ evaluation (actual date):</b>	UNEP Project N/A  GEF-Funded Global Nutrient Cycling (GNC) Project – Nov 2014
<b>Terminal Evaluation (actual date):</b>	September – December 2015		

Source: Evaluation TOR, FMO

<sup>1</sup> Excludes staff time

<sup>2</sup> Excludes staff time covered by the Environment Fund and operational costs covered by the GPA Trust Fund

<sup>3</sup> See below for information on the relationship between the two projects

## Acronyms and Abbreviations

CAR/RCU	Caribbean Regional Coordination Unit
CDA	Chilika Development Authority
CPPS	Permanent Commission for the South Pacific ( <i>Comisión Permanente del Pacífico Sur</i> )
FAO	Food and Agriculture Organization of the United Nations
DCPI	Division of Communication and Public Information (UNEP)
DEPI	Division of Environmental Policy Implementation (UNEP)
DEWA	Division of Early Warning and Assessment (UNEP)
DTIE	Division of Technology, Industry and Economics (UNEP)
EA	Expected accomplishment
FMEB	Freshwater and Marine Ecosystems Branch (UNEP) (now, Marine and Coastal Ecosystems Branch)
GEF	Global Environment Facility
GETF	Global Environment and Technology Foundation
GPA	Global Programme of Action for the Protection of the Marine Environment from Land-based Activities
GNC	Global foundations for reducing nutrient enrichment and oxygen depletion from land based pollution in support of global nutrient cycle ( <i>GEF Project title</i> )
GPML	Global Partnership on Marine Litter
GPNM	Global Partnership on Nutrient Management
HRBA	Human rights based approach
HSHW	Harmful Substances and Hazardous Waste
IFA	International Fertilizer Industry Association
IMO	International Maritime Organization
INI	International Nitrogen Initiative
IPNI	International Plant Nutrition Institute
IGR	Intergovernmental Review (of the GPA)
IGR-3	Third Intergovernmental Review (meeting)
MAP	Mediterranean Action Plan
MTS	Medium-Term Strategy (UNEP)
NCSCM	National Centre for Sustainable Coastal Management (India)
NOAA	National Oceanic and Atmospheric Administration (USA)
NOWPAP	Northwest Pacific Action Plan
PDS	Project document supplement
PEMSEA	Partnerships in Environmental Management for the Seas of East Asia
PIF	Project identification form (GEF)
PIMS	Programme Information and Management System (UNEP)
PIR	Project implementation review
PoW	Programme of Work (UNEP)
PRC	Programme Review Committee (UNEP)
ROtI	Review of outcomes to impacts
RSCAPs	Regional Seas Conventions and Action Plans
SPREP	Secretariat of the Pacific Regional Environment Programme
ToC	Theory of change
UNDP	United Nations Development Programme
UNEA	United Nations Environment Assembly
UNEP	United Nations Environment Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UN-Habitat	United Nations Human Settlements Programme

## **Executive Summary**

1. The '53-P5' project '*Managing Harmful Substance and Hazardous Waste through the Global Programme of Action in support of Regional Seas Agreements*' was implemented over a four-year period from December 2011 to December 2015. The project was designed in the context of the UNEP Programme of Work for 2010-2011 and specifically was intended to contribute to Output 536 under the Hazardous Substances and Harmful Wastes subprogramme, *The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer are subjected to tighter control*'.
2. The justification for the project was established in terms of i) the scale of pollution from land based sources, ii) its environmental, social and economic impacts, iii) the existing consensus of the global community to tackle land based sources through the GPA, and iv) the intention to strengthen the role of UNEP in support of the GPA, that was endorsed through the Intergovernmental Review of the GPA in October 2006. Further information is included in the section on Relevance.
3. The project had three components related UNEP's support to the Global Programme of Action for the protection of the Marine Environment from Land Based Sources (GPA): i) assessment of pesticides in coastal waters, ii) campaigning on land based sources, and iii) support to the Global Partnership on Nutrient Management. The project was substantially and appropriately revised in 2012 in response to the guidance provided by the GPA Intergovernmental Review at their 2012 meeting. The reformulated Component 1 focussed on water quality and fertiliser management practices while Component 2 set out to establish a Global Partnership on Marine Litter (GPML). The revised project was largely implemented and managed as two distinct initiatives.
4. The project has been implemented through the GPA Coordination Unit in the Freshwater and Marine Ecosystem branch within UNEP's Division for Environmental Policy Implementation (DEPI). Work on nutrients gained momentum in 2012 with the launch of a parallel Global Environment Facility project 'Global Foundations for reducing nutrient enrichment and oxygen depletion from land based pollution in support of global nutrient cycle' (GNC project) that was managed by the same project manager. Similarly work on marine litter gained momentum in 2013 with the receipt of dedicated funding from the government of Norway, building on a substantial body of policy work in previous years.
5. The project was originally designed to for implementation over an 18-month period. It was extended twice bringing the effective implementation period to 48 months (January 2011-December 2014).
6. The total recorded income for the project was US\$ 1.72 million and recorded expenditure was US\$ 1.69 million. The largest single contributor was the Government of Norway (US\$ 1.17 million) with additional contributions from the governments of Sweden, Italy and the Netherlands. The total project cost, including estimated amounts based on the overlap with the GEF GNC project and for staff costs provided through the UNEP Environment Fund was US\$ 2.83 million.
7. Successes of the project include the launch of the GPML and the high level of recognition of both Partnerships and of the issues that they set out to address. A range of knowledge products was initiated targeting technical and policy audience and stakeholders were mobilised through demonstration activities and task teams. Significant outcomes to which the project contributed include adoption of the Mediterranean Regional Action Plan on marine litter that is now legally binding and the adoption of a resolution on *marine plastic debris and microplastics* at the first United Nations Environment Assembly.
8. With regard to weaknesses, insufficient attention was paid in project planning as to how the project would bring about change on the ground. The two partnerships pursued different strategies to mobilise stakeholders which met with varying degrees of success. Practical challenges faced by the GPA during implementation of the project include the absence of secured funding at the start of the project and unrealistic timing. Component 3 was expected to be implemented in parallel with a Global Environment Facility Project on the global nutrient cycle (GNC) launched in May 2012 and delivery has been affected by the later than anticipated start of that project. These weaknesses are reflected in the lessons presented in conclusions section of the report.

9. Looking ahead, both partnerships now have a high level of recognition and this represents an important asset for UNEP and for the GPA. The partnerships are now an integral part of UNEP's programme of work with related outputs approved for the 2014-2014 biennium.
10. The ratings in Table Ex-1 reflect consideration of the full set of issues affecting or characterising project performance and impact. The overall rating for this project based on the evaluation findings is **moderately satisfactory for the work on nutrients** and **satisfactory for the work on litter**.

**Table Ex-1. Summary of Ratings based on Performance Criteria**

Criterion	Rating Nutrients	Rating Litter
<b>A. Strategic relevance</b>	<b>HS</b>	<b>HS</b>
<b>B. Achievement of outputs</b>	<b>MS</b>	<b>S</b>
<b>C. Effectiveness: Attainment of project objectives and results</b>	<b>MS</b>	<b>S</b>
1. Achievement of direct outcomes	MS	S
2. Likelihood of impact (ROtI)	ML	HL
3. Achievement of project goal and planned objectives	MS	S
<b>D. Sustainability and replication</b>	<b>ML</b>	<b>L</b>
1. Financial	ML	L
2. Socio-political	HL	HL
3. Institutional framework	ML	L
4. Environmental	L	L
5. Catalytic role and replication	S	HS
<b>E. Efficiency</b>	<b>MS</b>	<b>MS</b>
<b>F. Factors affecting project performance</b>		
1. Preparation and readiness	MU	MU
2. Project implementation and management	MS	MS
3. Stakeholders participation and public awareness	MS	S
4. Country ownership and driven-ness	S	S
5. Financial planning and management	MS	MS
6. UNEP supervision and backstopping	MS	MS
7. Monitoring and evaluation	MU	MS
a. <i>M&amp;E Design</i>	<i>MS</i>	<i>MS</i>
b. <i>Budgeting and funding for M&amp;E activities</i>	<i>MU</i>	<i>MU</i>
c. <i>M&amp;E Plan Implementation</i>	<i>MU</i>	S
<b>Overall project rating</b>	<b>MS</b>	<b>S</b>

## Recommendations

11. The following recommendations reflect some of the lessons and more general findings of this evaluation that are relevant for further development of work on land based sources of marine pollution and on the Partnerships.

### **1. Positioning of the Partnerships in UNEP's Programme of Work**

12. UNEP's 2014-2015 programme of work includes explicit Outputs for the GPML under the Ecosystems Management subprogramme and for the GPNM under the Chemicals and Waste subprogramme. Specific opportunities related to work on nutrients include: i) Bringing together the

GPA GPNM and Wastewater Initiatives to tackle nutrient hotspots through a place-based approach; ii) Regionalisation of the GPNM in collaboration with regional seas programmes to engage their government constituencies and establish meaningful targets in the context of an ecosystem approach. iii) Strengthening access to government decision processes by piggy-backing UNEP's work on the role active nitrogen in climate change and ozone depletion. Opportunities for work on marine litter include strengthening links between waste management and resource efficiency including through the re-launched Global Partnership on Waste Management.

**Recommendation 1.** Explore opportunities to broaden the relevance and reach of the Partnerships to UNEP's wider constituencies and reconsider positioning of the Partnerships in UNEP's PoW. (GPA Secretariat, Subprogramme Coordinators, relevant projects as input to design of UNEP's Medium Term Strategy (MTS) for 2018-2021).

## ***2. Reinforcement of Stakeholder Engagement***

13. Together, the Partnerships have demonstrated a wide range of good practices related to stakeholder engagement. The following recommendations address the desirability of accelerating partnership outcomes through governments as well as the potential to magnify the reach and ownership of Partnership activities through engagement of steering committee members and other champions.

**Recommendation 2-1.** Continue to strengthen government ownership and engagement with policy makers with a view reinforcing the integration of nutrients and litter management into national programmes of action on land based sources, including i) reinforcement of regional platforms and engagement of regional seas programmes and ii) building commitment and specific targets for action on nutrients and litter through the Intergovernmental Review process for the GPA. (GPA, GPML and GPNM, ongoing).

**Recommendation 2-2.** Consider greater delegation for participation in policy and technical events amongst Partnership Steering Committee members or other designated representatives with relevant technical knowhow. (*Ongoing in context of operationalization of the Partnerships*)

## ***3. Formalisation of Operations - Nutrients***

14. With the current GPNM Chair retiring in 2016, the recognised need to expand the reach of the Partnership and concerns to ensure it provides a representative voice, there is a strong need for the GPNM to formalise its governance and operational structures in order to maintain its credibility.

**Recommendation 2.** Building on the work of the Task Team on Governance, as well as the model provided by the GPML, develop a governance framework and operational guidance for the GPNM that should include provisions related to i) appointment or elections of Steering Committee members and Chair, ii) expansion of the partnership reach through structures such as task teams, iii) development and presentation of opinions or technical guidance by or on behalf of the Partnership, and iv) science- based policy advocacy. (GPA with GPNM Chair and members of the Task Team by August 2016).

## ***4. Staffing Needs – Litter***

15. Staff capacity for the work on litter has been particularly stretched since the second half of 2013 in view of the large number of project subcontracts and the additional responsibilities of the project officer.

**Recommendation 4.** Undertake a review of staffing needs and professional grades including with a view to expanding support by at least one professional officer. Consider the option of hiring or placing one project officer in one of UNEP's regional offices based on the expected concentration of regional activities in order to facilitate contact with GPML members in that region. (GPA with GPML Chair by June 2016).

## **Part I. Introduction**

### **The Project**

16. The UNEP project '*Managing Harmful Substance and Hazardous Waste through the Global Programme of Action in support of Regional Seas Agreements*' known as the '53-P5' project was designed as an integral part of UNEP's programme of work for the 2010-2011 programme of work and was intended to contribute to the delivery of the UNEP subprogramme on hazardous substances and harmful substances.
17. The project outcome, the release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer are subjected to tighter control', was to be brought about through three project components spanning a i) assessment of pesticides in coastal waters ii) a global campaign on land based sources of pollution and iii) support to the Global Partnership on Nutrient Management (GPNM). The project was expected to run for 18 months with a budget of US\$ 4,313,340.
18. The project was amended in 2012 to reflect i) the revised mandate of the UNEP hosted Coordination Unit for the Global Programme of Action on Land Based Sources of Marine Pollution (GPA); ii) the late start of the project and iii) the significant shortfall in secured funding. The extended project ran from December 2011 to September 2014 and focussed on the work of two partnerships – the GPNM and the Global Partnership on Marine Litter that was established under the project.
19. The project has been implemented through the GPA Coordination Unit in the Freshwater and Marine Ecosystem branch within UNEP's Division for Environmental Policy Implementation (DEPI). Work on nutrients gained momentum in 2012 with the launch of a parallel Global Environment Facility project '*Global Foundations for reducing nutrient enrichment and oxygen depletion from land based pollution in support of global nutrient cycle*' (GNC project) that was managed by the same project manager. Similarly work on marine litter gained momentum in 2013 with the receipt of dedicated funding from the government of Norway, building on a substantial body of policy work in previous years.
20. The total recorded income for the project was US\$ 1.72 million and recorded expenditure was US\$ 1.69 million. The largest single contributor was the Government of Norway (US\$ 1.17 million) with additional contributions from the governments of Sweden, Italy and the Netherlands. The total project cost, including estimated amounts based on the overlap with the GEF GNC project and for staff costs provided through the UNEP Environment Fund was US\$ 2.83 million.

### **Objectives, approach and limitations of the evaluation**

21. In line with the UNEP Evaluation Policy and the UNEP Evaluation Manual, and as set out in the Evaluation terms of reference, this Terminal Evaluation has assessed project performance in terms of relevance, effectiveness and efficiency, and determined outcomes and impacts (actual and potential) stemming from the project, including their sustainability. It was conducted from September 2015 to February 2016 ([Annex 1](#)).
22. The findings of the Evaluation are based on the following:
  - Face to face and skype interviews with Project Staff and other UNEP staff during an inception phase in Nairobi ([Annex 3 - List of Interviewees](#)).
  - A field visit to the Lake Chilika demonstration project in India ([Annex 3](#)).
  - Telephone and skype interviews with additional project stakeholders including partners and Partnership steering committee members ([Annex 3](#)).
  - A desk review of project documents and websites ([Annex 4 – List of documents consulted](#)) including the project proposal and extension documents, agreements with partners, meeting reports, and technical deliverables.
23. The evaluation was affected by:

- Limited institutional memory as a result of changes in project staff including retirement of the 53-P5 project manager and changes in the supervisors in the FMEB and GPA coordination unit. The retired project manager agreed to be interviewed in the context of the evaluation.
- Push back from project stakeholders involved in GNC project management related to consideration of the GEF GNC project that underwent a mid-term review in November 2014 and will be evaluated in 2016.
- The later than expected start of the evaluation and difficulties in scheduling interviews and in obtaining key documents in a timely manner resulting in a timing conflict for the evaluation consultant and leading to an approximately two-month delay in the planned schedule.
- Limited time available for the evaluation compounded by the large number of project activities across the two project themes.

## **Part II. The Project**

### **A. Context**

24. The UNEP Project 53-P5, **Managing Harmful Substance and Hazardous Waste through the Global Programme of Action in support of Regional Seas Agreements** set out to address the management of nutrients, marine litter and other forms of harmful substances and hazardous waste by using the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities (GPA) and Regional Seas Programme as a platform for dialogues, policy making and actions at national, regional and global levels.
25. The justification for the project was established in terms of i) the scale of pollution from land based sources, ii) its environmental, social and economic impacts, iii) the existing consensus of the global community to tackle land based sources through the GPA, and iv) the intention to strengthen the role of UNEP in support of the GPA, that was endorsed through the Intergovernmental Review of the GPA in October 2006. Further information is included in the section on *Relevance*.
26. The project was designed to run alongside and complement the Global Environment Facility (GEF) project entitled, 'Global foundations for reducing nutrient enrichment and oxygen depletion from land based pollution in support of global nutrient cycle' (known as the GEF GNC project) for which the project identification form (PIF) was approved in April 2010.

### **B. Objectives and Components**

27. The intended outcome of the project was '*The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer are subjected to tighter control*'.
28. The project was intended to contribute to UNEP's Hazardous Wastes and Harmful Substances (HSHW) Subprogramme as defined in the UNEP Programme of Work (PoW) for 2010-2011. The approved programme framework includes a preliminary concept with the project objective, *to prevent the degradation of the marine environment from harmful substances and hazardous wastes derived from land-based activities*.
29. The original project had three components each associated with one project output ([Table 1](#)). Components 1 and 2 were strongly modified in the October 2012 project document supplement (PDS) reflecting the mandate provided to UNEP by the Manila Declaration.

**Table 1. Project Components: Outputs and Budgets**

Component <i>Original title</i>	Original Output (2010)	Component Theme (2012)	Revised Output (2012)
<b>Component 1:</b> <i>'Pesticides in coastal and marine waters'</i>	Published report with the status of water quality and selected coastal habitats and compilation of existing fertilizer and pesticides management practices	<b>Component 1:</b> <i>Nutrient assessment</i>	Published report with the status of water quality and selected coastal habitats and compilation of existing fertilizer management practices.
<b>Component 2:</b> <i>'Global marine hazards campaign'</i>	Opportunities identified to promote adoption of economic instruments and policy measures to deal with marine litter/debris and hazardous substances and solid waste	<b>Component 2:</b> <i>Global Partnership on marine litter</i>	Opportunities identified to launch a global partnership on marine litter to promote adoption of economic instruments and policy measures to deal with marine litter/debris
<b>Component 3:</b> <i>'Global Partnership on Nutrient Management'</i>	The Global Partnership on Nutrient Management (GPNM) is further developed as a platform to raise awareness on the links between fertilizer and pesticide use, and the varied impact of nutrient on human health, and environment	<b>Component 3:</b> <i>Global Partnership on Nutrient Management</i>	<i>Output unchanged</i>

30. A further strategic dimension of the project<sup>1</sup> was to i) demonstrate UNEP's comparative advantage in delivering critical scientific, economic and social information; developing policy advice; designing implementation tools and providing training and guidance for risk assessment and sustainable management of resources at the national and regional levels and ii) to establish UNEP as a (recognised) centre of excellence.

### C. Target Areas and Groups

31. The project was global in scope with expected links to four regions: Africa, Asia Pacific, West Asia, and Latin America & Caribbean. Pilot projects were to be initiated in two unspecified countries. While many of the project achievements are normative in nature, pilot or technical assistance activities were implemented in all four regions as well as in the South Pacific and in Europe (with activities in Africa and Europe largely limited to the Mediterranean Countries). Demonstration projects or country level studies were undertaken in Chile, China, Columbia, Ecuador, Egypt, India, Panama, Peru, Philippines, and Samoa.
32. Target groups are referred to in the programme framework concept as governments, private sector, civil society, multilateral and non-governmental organizations.
33. The outcome indicator in the original logframe included a target of 10 countries for adoption of policy changes or control systems for the period 2010-2011. The target identified in UNEP's Programme Information and Management System (PIMS) for 2012-2013 was a further four countries.

<sup>1</sup> Identified under 'specific opportunities' in the project document

#### **D. Milestones in Design, Implementation and Completion**

34. The project was first submitted for approval by UNEP's Project Review Committee (PRC) in June 2010. A reviewed draft was approved as part of the HSHW Subprogramme on 23 December 2010. The expected duration of the project was 18 months.
35. The context for the project has changed in three main respects.
  - i) The adoption of the Honolulu Strategy as the outcome of the Fifth International Marine Debris Conference in March, 2011 and the development of an ensuing UNEP strategy document on marine litter<sup>2</sup>.
  - ii) The adoption in January 2012 by the sixty five governments taking part in the Third Intergovernmental Review Meeting (IGR-3) for the GPA, of the Manila Declaration that included a decision that GPA Coordination Office in the period 2012-2016 should focus its work on nutrients, litter and wastewater as the three priority source categories for the GPA, using global multi-stakeholder partnerships; and request the Coordination Office to develop its activity plan on the basis of these strategic directions.
  - iii) The approval in June 2011 of the GEF project entitled '*Global Foundations for reducing nutrient enrichment and oxygen depletion from land based pollution in support of global nutrient cycle*' (GNC) and its launch, following a one-year inception phase and completion of an inception report, in May 2012. As anticipated in the project document, the project has been implemented in parallel with the necessarily extended 53-P5 project with a strong overlap with Component 3 (and later with the revised output and added milestones and activities under Component 1). The GNC project duration was reduced in the inception phase to three years to reflect the favourable policy environment based on the Manila Declaration.
36. There have been two project document supplements, cleared respectively in October 2012 and March 2014. The supplements provide background on key results achieved to date, on the funding situation and on the contributions to prevailing PoW outputs.
37. The first supplement notes that milestones had been revised and streamlined for more effective use in monitoring. The thematic scope of Components 1 and 2 was quite significantly altered in 2012 as follows:
  - Component 1 was reformulated to focus on fertilizers rather more broadly on pesticides and their relationship to fertilizer application. Milestone 4 under component 1 was reformulated to refer to fertilizers rather than pesticides and fertilizers, echoing the change in output wording and the new 2012 milestones similarly reflect this change in focus. Indicators were similarly revised to refer to delivery of an assessment report (on nutrients rather than pesticides and nutrients) and to countries applying reports on nutrients (rather than pesticides). Additional milestones in the 2014 supplement refer to the ecosystem health card demonstration projects that were originally associated with Component 3.
  - Component 2 was reformulated to focus on the launch of a global partnership on marine litter. Additional milestones refer to the development of strategy for prevention and management of marine debris and to the establishment of a global partnership. Indicators were revised accordingly.
38. The project was extended to September 2014 and in practice is considered to have closed at the end of December 2014, bringing the effective implementation period to 48 months. Some project deliverables, based on agreements signed in 2014, were completed in 2015. Follow on projects related to litter and nutrients under the 2014-2015 PoW<sup>3</sup> were approved the second quarter of 2015 under the Ecosystem Management and Chemicals and Waste Subprogrammes.

<sup>2</sup> UNEP/GPA/IGR.3/INF/6. Progress in the implementation of UNEP's marine litter activities 2007-2011 and the way forward from 2012 to 2016

<sup>3</sup> Project 323.1: *Global Partnership on Marine Litter – Out of sight, out of mind – changing the state of marine litter globally* and Project 525.1: *Addressing the Nutrient Challenge through an Effective Global Partnership on Nutrient Management*

## E. Implementation Arrangements

39. The project was delivered by the GPA Unit within the Freshwater and Marine Ecosystems Branch (FMEB)<sup>4</sup> within the Division for Environmental Policy Implementation (DEPI). There has been some divergence from the planned implementation arrangements envisaged in the project document reflecting i) the limited funding for Component 1 of the project ii) reorganization of UNEP's support to the GPA on the basis of the Manila declaration. Further details are provided in the sections on *Relevance* and *Project Management*.
40. Information on anticipated staffing arrangements in the project document is inconsistent. In practice, the project has been staffed by a project manager (100%)<sup>5</sup> who was responsible for Components 1 and 3 and who also served as the project manager for the GEF GNC project, and by a project officer (roughly 75%) responsible for Component 2. The project manager retired in April 2014 and was replaced only at the end of November 2014.

## F. Project Financing

41. The project cost anticipated in the project document was US\$ 4,313,340 of which none was secured at the time of approval. US\$ 354,000 had been mobilized for related activities prior to the 2010-2011 biennium. The UNEP project document anticipated that US\$ 1.7 million would be sourced through the GEF GNC project to strengthen the Global Partnership on Nutrient Management, corresponding to Component C of the UNEP project.
42. Table 2 presents an overview of project finance and of budget allocations by component, based on the project document and PDSs. The original budget was inclusive of UNEP programme support costs. The budgets set out in the project document supplements were activity based. While they reflect an overall substantial reduction in the project budget they do not include expenditure in 2011 or programme support costs so do not represent the overall cost of the project. The budgets do not include staff time.

**Table 2. Project Budgets based on project document and project document supplements**

Component	Original Budget (US\$) Including PSC	Budget 2012-2013* (US\$)	Budget 2012-post 2013** (US\$)
<b>Component 1:</b> Assessment	946,827 (22%)	225,000	185,000
<b>Component 2:</b> Marine Hazards / Litter	1,263,277 (29%)	350,000	875,000
<b>Component 3:</b> GPNM	2,104,286 (49%)	1,110,000	1,185,000
<b>TOTAL</b>	<b>4,314,390</b>	<b>1,685,000</b>	<b>2,245,000</b>

Sources: Project document; \* PDS 2012, \*\* PDS 2014 with corrected subtotals

43. Funding for the 53-P5 project has been allocated from the UNEP GPA Trust Funds (including funds secured from the Government of Italy in the early 2000s and funds earmarked for marine litter from the Government of the Netherlands), the Norway Trust Fund, including earmarked funding for marine litter received in 2013, and from the Swedish Trust Fund. UNEP Environment Funds covered the project staff and support of other GPA and FMEB staff.
44. The PDSs indicate that the main source of income in 2012-2013 was the GEF GNC project with the US\$ 1 million contribution based on the overlap of activities with Component 3 of the 53-P5 project. Further details are provided in the section on *Financial Planning and Management*.

<sup>4</sup> Known as the *Marine and Coastal Ecosystems Branch* at the time the project was approved; GPA now falls under the reconstituted *Marine Ecosystems Branch*

<sup>5</sup> Percentages are based on the October 2012 PDS

## **G. Project Partners**

45. Project partners included:

- Steering committee members of the Global Partnership on Nutrient Management (GPNM) and the Global Partnership on Marine Litter (GPML), comprising relevant UN agencies (such as Food and Agriculture Organization of the United Nations (FAO) and International Maritime Organization (IMO)), governments including the US Government represented by the NOAA and other agencies, Government of the Netherlands, and, in the case of nutrients, industry bodies including the International Plant Nutrition Institute (IPNI) and International Fertilizer Industry Association (IFA).
- Regional Seas Conventions and Action Plans (RSCAPs) directly involved in project activities namely: Secretariat of the Pacific Regional Environment Programme (SPREP), Permanent Commission for the South Pacific (CPPS), and regional coordinating units for the Mediterranean Action Plan (MAP), Caribbean Action Plan (CAR) and Northwest Pacific Action Plan (NOWPAP)(for litter), plus Partnerships in Environmental Management for the Seas of East Asia (PEMSEA) (for nutrients).
- Project subcontractors including NGOs, scientific and technical bodies, and UN agencies, many of which were members of the partnerships.

46. An anticipated partnership with UN-Habitat was not realised as a result of a shortfall in funding for project component 1.

### **I. Reconstructed Theory of Change of the project**

47. Annex 6 presents reconstructed theories of change (ToCs) for the litter and nutrient components of the project building on the original project logframe and accompanying narrative and the revised approach for component 2 set out in the first PDS. The ToCs also consider the further elaboration of the partnership strategies and UNEP role in the documents presented to IGR-3, the approach set out in the GEF GNC project, and the follow on UNEP projects initiated in 2015. They reflect the largely normative and catalytic nature of the project.

- The intended impact is based on the UNEP project document which indicates that the project *seeks to prevent the further degradation of the marine environment from harmful substances and hazardous wastes derived from land based activities.*
- Immediate outcomes for nutrients are based on the narrative text that provides a number of plausible pathways for the uptake of project products and services. The project document did not provide a detailed explanation as to how the project would promote the transition from normative work to national implementation. Immediate outcomes for litter are based on the revised output and milestones in the 2012 PDS and the ‘way forward’ document presented to the IGR-3 meeting.
- The set of intermediate outcomes are generalised outcomes for both partnerships and reflect the overall programme strategy, spanning policy, information and knowledge, and availability of appropriate tools and techniques at national level.
- Assumptions are based on risks identified in the project document narrative and risk log. The first set of assumptions relates to project implementation and the second set of assumptions relates to further mainstreaming and implementation at national level. Resource mobilization is presented as a driver in that the range of anticipated resource mobilization was beyond the immediate project, but should also be recognised as a pre-requisite (and risk) for project implementation.

48. The linear approach implied by the ToCs is misleading in view of i) the catalytic approach of the Partnerships that could be characterised as drivers or strategies rather than necessary stages in a results chain, and, ii) the pilot nature of many actions, some of which are being consolidated in the current PoW projects. The project activities can be viewed as contributions to a change process targeting governments but involving a wide range of stakeholders. As such, they would not alone be sufficient to bring about change but are designed to generate a snowball effect through partners. (See Section on *Catalytic Effects*).

## **Part III. Evaluation Findings**

49. Part III of the evaluation is organised in six sections representing the six main categories of evaluation criteria, namely a) strategic relevance; b) achievement of outputs c) attainment of objectives and planned results, d) sustainability and catalytic role, e) efficiency and f) processes affecting attainment of project results.

### **A. Strategic Relevance**

#### ***Significance of Land Based Sources of Marine Pollution***

50. The justification for the project was established in terms of the scale of pollution from land based sources, and its environmental, social and economic impacts as well as UNEP's mandate and expected contribution to its approved programme of work (See below). The project document cites a figure from the Millennium Ecosystem Assessment indicating that the costs of pollution of coastal waters totalled some US\$ 16 billion annually, largely accounted for by impacts on human health. It further indicated that an estimated 80% of the pollution load in coastal waters and deep waters originated from land based activities.
51. The project focus on nutrients reflects the establishment of the GPNM in May 2009, the policy mandate of 2012 (See below), as well, pragmatically, as difficulties in mobilizing funding for work on pesticides that were originally included under Component 1. With regard to implementation, the project has increasingly focussed on agricultural releases of nutrients with strong engagement of the private sector through industry bodies. Some project stakeholders indicated a preference for an ecosystem based approach dealing with all inputs of nutrients to given systems rather than a source based approach, and questioned the separation of nutrients and wastewater in the GPA strategy. Others identified the opportunity and need for a comprehensive approach to active nitrogen including in the context of climate change and suggested this would generate stronger government engagement.
52. The focus on marine litter reflects UNEP's track record of action in this area, including a global assessment undertaken with the regional seas programmes at the request of the UNEP Governing Council, as well as policy developments in 2011 and 2012 (See below). Specific issues addressed in the demonstration projects include micro plastics that was identified as an emerging issue in the 2011 UNEP Yearbook and has subsequently been addressed through a resolution at the first United Nations Environment Assembly (UNEA) (See *Outcomes*).

#### **Global Policy Framework & UNEP Mandate**

53. The project has its roots in the 1995 consensus of the global community to tackle land based sources through the Global Programme of Action for the protection of the Marine Environment from Land Based Sources (GPA) represented by the Washington Declaration. It also reflects intention to strengthen the role of UNEP in support of the GPA, that was endorsed through the 2006 Intergovernmental Review of the GPA in October 2006
54. UNEP's Mandate was revised through the January 2012 Manila Declaration, the output of the IGR-3 meeting involving 65 governments and the European Commission, that stated, "*the GPA Coordination Office in the period 2012-2016 should focus its work on nutrients, litter and wastewater as the three priority source categories for the GPA, using global multi-stakeholder partnerships*" and the related request to the Coordination Office to develop its activity plan on the basis of these strategic directions. This mandate has been further established by a number of high profile policy statements endorsing the Partnerships (See Sections on *Outcomes* and *Institutional Sustainability*).
55. The project was adapted in an appropriate manner as set out in the October 2012 PDS. Specifically, work on pesticides under Component 1 was dropped and Component 2 was restructured around development of the GPML. This is formalised in revisions to project outputs 1 and 2 and to some of the milestones under these outputs in the 2012 PDS.

56. In the absence of a detailed project document, work on litter has been guided by an information note prepared by the Secretariat for the IGR-3 meeting that set out progress on marine litter activities and proposed the way forward for 2012-2016.

#### ***UNEP Medium Term Strategy and Programme of Work***

57. The intended outcome of the project corresponded to Output 536 for the 2010-2011 PoW, '*The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer are subjected to tighter control*'. This in turn was a further specification of the HSHW Expected accomplishment (EA)(c): '*Appropriate Policy and control systems for harmful substances of global concern are developed and in place in line with State's international obligations, covering the period 2010-2013*' The project was listed under the approved HSHW programme framework which included a brief description of planned work under the GPA.
58. Alignment to successive programmes of work (2012-2013) and (2014-2015) was identified in the project document supplements of October 2012 and March 2014. The first supplement identified alignment to the 2012-2013 PoW Outputs 532 and 534 though the match is less convincing than in the previous PoW period: Output 532 focussed on chemicals covered by MEAs while Output 534 addressed knowledge of effects of hazardous wastes in general terms.
59. The expected contribution to EA(c) can be extrapolated from the planned contribution to the project outcome and specifically to the indicator in the project logframe, '*The number of countries that are adopting policies and control systems to guide implementation of their international obligations with regard to harmful waste*'. The target number of countries was ten in 2010-2011 and four in 2012-2013/2014 (See Outcomes).
60. The second supplement identified alignment to the Chemicals and Waste subprogramme in the 2014-2015 PoW, and specifically to Output 525.1. *Actions catalyzed through the multi-stakeholder Global Partnership on Nutrient Management to reduce and, where possible, eliminate threats to aquatic environments from land-derived nutrients*. The 2014-2015 PoW also included Output 323 on the GPML under the Ecosystem Management subprogramme but the UNEP requirement that individual projects should contribute to just one subprogramme and EA mean that the project alignment is recognised only to the first of these outputs.
61. The 2014-2015 PoW Outputs on the GPNM under the Chemicals and Waste subprogramme and on the GPML under the Ecosystem Management subprogramme reflect the mainstreaming of these areas of work in UNEP's strategy and Programme of Work. Nevertheless, there is still some debate as to how this work best fits into UNEPs PoW and whether the currently alignment is appropriate.

#### ***Project's alignment & compliance with UNEP's policies and strategies***

62. The gender analysis in the project document is understandably broad given the global reach of the project. The document refers to women as beneficiaries in view of the important role of women in the economic sectors affected by land based sources. There is limited reference to the role of women in bringing about change but the document does note that that special attention will be paid to gender concerns in design and implementation of the demonstration projects. There is no evidence this was done in the reports on demonstration activities provided for this evaluation.
63. There is no explicit reference to Human rights based approach (HRBA) or to the UN Common Understanding on HRBA in the project documentation. A checklist for environmental and social issues was completed as part of the GEF GNC project document. Based on applicable criteria, including full involvement of relevant authorities and stakeholder consultation, appropriate measures are in place at demonstration sites such as Lake Chilika and Laguna de Bay.
64. With regard to the Bali Strategic Plan, technology transfer – and more specifically, transfer of know how – has been addressed through normative activities including development of a Toolkit. Steering Committee members including national authorities in the US and Industry partners indicated that they were strongly motivated by the opportunity to share experience through the

Global Partnerships. At a practical level, the healthcard approach demonstrated at Lake Chilika built on lessons from Chesapeake Bay<sup>6</sup> as well as earlier work by the Land Oceans Interactions in the Coastal Zone (LOICZ) programme.

65. South-South Cooperation has been encouraged and to some extent enabled through normative activities (assessments, reviews of policy and best practice) and active involvement of partners from the South in project activities including through regional seas programmes. Regional level cooperation on nutrients amongst developing countries was encouraged through workshops to launch regional chapters of the GPNM. An expert from the Lake Chilika Development Authority took part in the inception meeting for the Laguna de Bay project and lessons have also been shared with other lake authorities outside the context of the project.
66. Overall the project has been moderately successful in engaging key stakeholder groups. Further details as well as lessons in this area are discussed in report sections on *Country Ownership, Stakeholders and Conclusions*. The engagement of governments at the international policy level has been particularly strong, confirming the relevance of the issues and interest in the partnership approach at a global level and establishing a foundation for further work in this area (See Sustainability / Outcomes).
67. The rating on strategic relevance is **Highly Satisfactory** reflects the importance of the issues and appropriate revision of the project in response to the mandate from the 2012 IGR-3 meeting.

## B. Achievement of Outputs

68. Tables 5-1 and 5-2 in Annex 5 summarise the project's success in producing the programmed outputs and milestones both in quantity and quality, as well as their usefulness and timeliness. The outputs and indicators in Table 5-1 are based on the revised project logframe provided in the October 2012 PDS (with the delivery date taken as the project end date, as further revised in 2014). The milestones are from the cumulative list in the March 2014 PDS and shows changes to earlier milestones. Table 5-2 also reports the recorded delivery status for those milestones included in PIMS<sup>7</sup>.
69. The following paragraphs summarise highlights of delivery for each biennium for the two project themes, nutrients and litter.

### 2010-2011 Biennium

70. 2010-2011 was a difficult biennium in view of the absence of secured funding at the start of the project, low funding allocations, as well as the late start of the project with full PRC approval of the project taking place only in December 2010.
71. GPA officers were also involved in the preparation of the third Intergovernmental Review meeting in January 2012, which paved the way for the revised UNEP mandate and subsequent reorientation of the project.

#### Nutrients

72. Activities were initiated under Components 1 and 3 based on funding allocations in the 2011 GPA activity budget to initiate a demonstration project in Egypt (using funding earmarked for the Mediterranean) and Lake Chilika and to prepare of a global overview on nutrients, leading to publication in June 2013 of 'Our Nutrient World'. Agreements were also signed in 2011 the Global Environment and Technology Foundation (GETF) for development of an inventory on nutrient best practices and for development of a policy toolbox and with the China Agricultural University to launch the GPNM Asia Platform (or chapter) in 2011 with participation of eight countries<sup>8</sup>.

<sup>6</sup> Notably, though the involvement of the University of Maryland

<sup>7</sup> Several of 2012 milestones were not included in PIMS, notably under Component 3.

<sup>8</sup> Bangladesh, China, India, Thailand, Indonesia, Malaysia, Vietnam and Sri Lanka

73. UNEP continued to represent the Partnership at a cross section of events including side events at the 2010 and 2011 meetings of the Commission on Sustainable Development, where the partnership was first launched in 2009. A 33-page guidance document '*Foundations for sustainable nutrient management*', the product of earlier support to the GPA through the government of Norway, was finalized in 2010.
74. The project manager led the inception phase of the GNC project that ran from June 2011 to May 2012 with an inception meeting organised in March 2012.

#### *Marine Litter*

75. UNEP was part of the 20-member Steering Committee for preparation of *the Fifth International Marine Debris Conference*, and with NOAA formed a core committee responsible for day to day organization, including fundraising and drafting of the conference statement and action plan. The meeting culminated in endorsement of the Honolulu Commitment, which outlines 12 actions to reduce marine debris. UNEP was closely involved in the finalization of the Honolulu Strategy – a framework strategy for the prevention and management of marine debris and a core document for the GPML.
76. Work on the marine litter network portal was initiated through a third party and external budget based on surplus funding that was raised through sponsorship and registration fees for the Marine Debris Conference.

#### **2012-2013 Biennium**

77. The biennium kicked off with the IGR-3 meeting in Manila, setting the scene for project revisions though the October 2012 PDS that introduced 21 new milestones. Many of these activities have continued into 2014 reflecting late receipt of funding for the work on plastics and the later than anticipated start of the GEF GNC project.

#### *Nutrients*

78. Under Component 1, summary document, *Our Nutrient World – Key messages for Rio – 2012*, was presented at a well-attended side event Rio+20 event, entitled, '*Nutrients: For Food or Pollution? The Choice is Ours!*'. The full report, '*Our Nutrient World: The challenge to produce more food and energy with less pollution*' was published in mid-2013 in close collaboration with the International Nutrient Initiative (INI) and received extensive media coverage. A related academic paper was published later in 2013.
79. Component 3 was delivered in close collaboration with the GEF GNC project from April 2012. A project website as launched through a 52-P5 contract with the Energy Research Centre of the Netherlands<sup>9</sup> while the 53-P5 agreement with GETF related to technical outputs was supplemented with a follow on GNC contract. Updating of the 2010 'Challenges' document also commenced in this period. The initial deliverables in these areas were disappointing, in part reflecting that they were subject to further development under the GNC project. For example, the toolkit was expected to build on outputs of other GNC components including work on modelling approaches not addressed under the 53-P5 project<sup>10</sup>.
  - The GPNM and GNC project website<sup>11</sup> was launched in around 2012 but is difficult to navigate with patchy and out of date content, many incomplete sections and broken links. A new site is being prepared for launch in 2016 based on the recommendations of the mid-term review of the GNC project. (See also *Communications*).
  - Substantial work was undertaken to develop a compendium of information of good practice which is available as an excel spreadsheet. The original 53-P5 budget was unrealistic. Work towards development of the toolkit and training module has continued under the GNC project

<sup>9</sup> The Project Manager indicated in January 2016 that this contract should have come under the GNC budget

<sup>10</sup> The 53-P5 project milestones related to these technical outputs are not included in the PIMS records for this project, perhaps reflecting that these are viewed as part of the GNC project. They are included in this evaluation in view of the funding agreements issued using 53-P5 budget lines, in some cases prior to the launch of the GNC project.

<sup>11</sup> <http://www.nutrientchallenge.org>, last visited January 2016

and a draft toolkit is now available online<sup>12</sup> though not yet linked or indexed from the main Partnership website that it may replace.

- A poorly structured draft of the updated 'Challenges' document was presented of the GPNM Steering Committee for peer review in early 2014 but there is no evidence that the document was completed for publication.
80. An agreement for the demonstration project to develop a nutrient health reporting card for Lake Chilika was signed in May 2012 following formal approval of the project by the Government in April 2012. The scorecard process was initiated with expert and stakeholder consultations to identify and develop indicators for the assessment of ecosystem health in June 2012. Indicators and the thresholds were finalized at a technical workshop with the National Centre for Sustainable Coastal Management (NCSCM) and Maryland University and the report card was adopted by the Governing Body of CDA following a second stakeholder consultation workshop to discuss the outcome of the analysis. The process culminated in a policy level workshop, chaired by the Minister for Forests and Environment, and publication of the Odia (local language) version of the report card in December 2013.
81. Though less ambitious than the originally planned activity that included development of a nutrient budget, the scorecard is a sound product that is strongly appreciated by the CDA and by stakeholders including communities and is used as an outreach tool by local NGOs. The results, together with a GNC workshop on the toolbox, have served to strengthen the dialogue between the CDA and Department of Agriculture regarding use of fertilisers. Monitoring facilities and capacity at Wetlands Research and Training centre of the CDA have been strengthened and the revised 2013 Lake Chilika Management Plan includes measures to assess nutrient loading from agricultural lands and to promote water and nutrient efficient agriculture.
82. Initiation of the planned follow on demonstration project to apply the nutrient health reporting card in Laguna de Bay, Philippines was delegated to PEMSEA as part of an April 2010 agreement through the GNC project. A multi-stakeholder workshop was organised in December 2013 with participation of experts from Lake Chilika. The work gained momentum in 2015 and a draft health report card was available in November 2015.
83. The GPNM Steering Committee served as the steering committee for the GNC project and met regularly through face to face meetings, at events, and virtual meetings. A Global Partners meeting was hosted by The US Department Agriculture in May 2013 while the Second Global Conference on Land-Ocean Connections (GLOC) in October 2013 in Jamaica served as a partnership forum for all three global multi-stakeholder partnerships of the GPA.
84. The 52-P5 milestones do not fully capture the efforts and successes of the GPNM. Of particular note, the Washington meeting led to the establishment of GPNM Task Teams, now numbering six or seven, including on nutrient use efficiency and more recently on SDG indicators that involved Steering Committee members and other experts working on a voluntary basis. Steering Committee members as well as the Secretariat have represented the partnership in a wide range of other events, on a voluntary or costs only basis. The Secretariat was also instrumental in initiating development of a further GEF project for a global nitrogen assessment for which the project document is currently being finalised, including through support for organization of a meeting in London.
- Marine Litter*
85. The Global Partnership on Marine Litter (GPML) was formally launched at the Rio+20 Conference in June 2012, based on the structure set out in the Honolulu Strategy, and the first Partnership Forum was held during the Second Global Conference on Land-Ocean Connections (October 2013). Subsequent GPA activities on litter have been delivered within the framework of the partnership.
86. Work on the litter component 2 gathered momentum in late 2013 with the receipt of earmarked funding from the Government of Norway, building on smaller contributions from the Netherlands from 2012. Several new initiatives were launched based on the priority areas identified in the

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<sup>12</sup> Working draft at <http://www.nutrientchallenge.org/toolbox/>

Honolulu Strategy as well as the 'way forward' document prepared for IGR-3 as part of the GPA workplan. Amongst the highlights:

- Support to the 'Beat the Microbead' initiative to expand the geographic scope and language coverage of a barcode scan based application designed to inform consumers about the presence of microbeads/ microplastics in cosmetics and personal care products.
  - Support to the China-based Ocean Recovery Alliance to expand engagement in the Plastics Disclosure Project, leading to the 2014 publication, *Valuing Plastics: The Business Case for Measuring, Managing and Disclosing Plastic Use in the Consumer Goods Industry*.
  - Support to the WSPA<sup>13</sup> to publish the proceedings of the 2012 'Untangled' Symposium and to advance the International Ghost Gear Initiative.
  - Support through the CPPS for 12 marine litter workshops targeting school teachers, artisanal fishermen and tour operators in fishing communities in Southeast Pacific countries leading to the establishment of 'amigos del mar' and requests for the development of municipal action plans (See below).
  - Sponsorship to participants from the Nairobi and Abidjan Regional Seas Convention countries to attend the African Summit on Marine Debris in June 2013, and preliminary discussions on creation of an Africa Network.
87. The project provided ongoing technical support for development of regional actions plans under the regional seas conventions, with direct support to UNEP MAP for development of a Regional Action Plan on Marine Litter (See paragraph 106) and support to the Caribbean on communications initiatives and the revision of their regional action plan for marine litter from 2008.

## 2014

88. Six new milestones were approved in March 2014 including i) three management milestones (meetings, mid-term review for the GNC project) and ii) three milestones related to the nutrient demonstration projects in Chilika and Laguna de Bay<sup>14</sup> and the litter demonstration project in Samoa.

### Nutrients

89. The delayed wastewater management project in Egypt was launched in mid-2014 and completed in mid- 2015. The project final report, 'The Re-use of Treated Sewage Waste Water in Agriculture' contains recommendations for a country-wide establishment of wastewater irrigated farms.

### Litter

90. Several new demonstration projects were initiated under the litter component in 2014:

- An agreement with CPPS to develop municipal action plans through participatory processes in Chile, Colombia, Ecuador, Panama, Peru. Five plans were developed in mid-2014 with several including implementation arrangements involving a cross section of stakeholders that were unprecedented at the local level. Four or the five plans have been formally adopted with adoption of the fifth pending at the time of the evaluation interviews.
- The Samoa waste reduction and control project that showcased waste control measures, including, notably installation of booms, at the September 2014 Small Island Developing States Conference. Similar work has been conducted in the Solomon Islands.
- Agreements were also signed with FAO and IMO for wider Partnership activities falling under their institutional mandates (related respectively to abandoned, lost to otherwise discarded fishing gears and to marine litter from shipping). The agreement with IMO was extended to mid-2015.

<sup>13</sup> Now known as 'World Animal Protection'

<sup>14</sup> These were added to Component 1 but fit better under Component 3

91. Finally, a highlight in 2014 was the adoption by 159 countries of a resolution sponsored by the government of Norway on *marine plastic debris and microplastics* at the first United Nations Environment Assembly in June 2014.

### **Overview of Delivery**

92. Delivery of the project was negatively affected by the limited availability of funding, particularly in the first biennium and related to project Component 1. The unrealistic project duration was compounded by the late start date and interdependence of Component 3 work and the GEF GNC project. The project was appropriately adapted in response to GPA's revised mandate.
93. The rating for nutrients is *moderately satisfactory*, based on the very limited delivery of Component 1 and incomplete delivery of Component 3 as a result of overlap and timing of the GNC project. At the same time, it is recognised that the 52-P5 milestones do not fully capture the efforts and successes of the GPNM.
94. The rating for litter is *satisfactory* reflecting the strategic nature of preparatory activities and efficient delivery once funding was received. Activities undertaken under the Component 2 extend beyond what was required to deliver the revised 53-P5 milestones but are considered to be justified as well as useful and strategic in the context of establishing the Partnership and making a meaningful contribution to the Honolulu Strategy
95. The overall rating on of delivery of milestones and outputs is **moderately satisfactory for nutrients and satisfactory for litter**.

### **C. Attainment of Project Objectives and Results**

96. This section looks at three aspects of project effectiveness: i) Achievement of outcomes based on reconstructed theories of change; ii) Likelihood of impact based on reviews of outcomes to impacts for nutrients and litter and iii) delivery of project objectives.

#### ***Achievement of outcomes based on reconstructed theories of change***

97. The review of outcomes in the following paragraphs is based on the reconstructed theories of change for the project (Paragraph 47 and Annex 6). The outcomes related to Component 1 are less ambitious and narrower in scope than would have been constructed based on the original project document, reflecting that GPA was not given a mandate to work on pesticides. The outcomes for Component 2 (marine litter) are more ambitious but narrower in thematic scope.

98. For nutrients (Components 1 & 3; Annex 6, Figure 6-1):

- The GPNM is fully established and was widely recognised during the course of the project including through the IGR at its third meeting.
- Regional chapters on nutrient management were established for Asia and the Caribbean but were not active in project implementation. The regional platform for Asia held a further meeting in November 2015 under the GNC project.
- No national partnerships or policy fora were established.
- Knowledge of the nature and extent of nutrient pollution in coastal waters was made available through the '*Our Nutrient World*' with related policy briefs prepared for international policy meetings including Rio+20, the 11th Conference of Parties for the Convention on Biological Diversity, and for at least one regional meeting.
- Extensive information on best practices, tools, and technologies was compiled but was not made widely accessible to relevant actors during the project period.
- The project is expected to increase the understanding of policy options once the toolkit is launched.

- The Lake Chilika demonstration project was successfully delivered with relevant national actors and experience was extended to Laguna Lake.

99. For marine litter (Component 2; Annex 6, Figure 6-2)

- Marine Litter has been recognised as a priority issue through numerous international and regional processes and by participating governments including the IGR-3 and UNEA.
- The marine litter forum and network was established following the Honolulu meetings, with UNEP indirectly supporting establishment of the network portal based on fundraising efforts for the Honolulu meetings
- The GPML was established based on the Manila declaration and wider GPA and UNEP mandates and was launched at Rio+20. It has been widely recognised in policy meeting including UNEA (and more recently by the G7).
- The Honolulu Strategy, a joint UNEP and NOAA framework strategy, was finalised with substantial UNEP input following the Honolulu meeting.
- A substantial technical contribution to the legally binding regional action plan on marine litter adopted for the Mediterranean by the parties to the Barcelona Convention. Other regional seas bodies are in the process of developing similar plans.
- Information, best practices, tools, and technologies have been shared through the portal, including a number of project products.
- A wide range of demonstration activities have been delivered with regional and national actors including NGOs.
- Support has been provided for actions to reduce marine litter by other UN agencies (FAO, IMO) based on their mandates and comparative advantage.

100. The rating for achievement of direct outcomes from reconstructed TOC is **moderately satisfactory for nutrients and satisfactory for litter**.

#### ***Likelihood of Impact***

101. The review of outcomes to impacts (ROtI) assess to what extent the project has contributed and is likely in the future to further contribute to pollution reduction and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment, and human well-being. Tables 6-3 and 6-4 in Annex 6 show the ROtI approach applied respectively for the nutrients and litter components of the project.

102. The likelihood of impact for the work on nutrients based on the reconstructed TOC is **moderately likely** based on the BC rating from the review of outcomes to impacts. This reflects partial delivery of outcomes and that measures designed to move toward intermediate states have started but there is no immediate evidence of results.

103. The likelihood of impact for the work on litter based on the reconstructed TOC is **highly likely** based on the AC+ rating from the review of outcomes to impacts. This reflects substantial delivery of outcomes, expected continuation of specific actions and of the Partnership, and that measures designed to move toward intermediate states are starting to produce results. The '+' reflects reductions in litter inputs through pilot and demonstration projects.

#### ***Logframe Objective and PoW Contributions***

104. The project outcome or objective was, '*the release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer are subjected to tighter control*', and the related indicator, '*the number of countries that are adopting policies and control systems to guide implementation of their international obligations with regard to harmful chemicals and waste*'.

105. The target of ten countries for the 2010-2011 biennium was not achieved owing to the late start of the project and limited funding. By extension, the intended contribution to the 2010-2011 PoW output and related expected accomplishment in the MTS 2010-2013 was not achieved,

106. The target of four countries for the 2012-2013 biennium was exceeded, notably through the contribution to adoption at the Barcelona Convention COP 18 in December 2013 of the Regional Plan on Marine Litter Management for the Mediterranean in the framework of Article 15 of the Land-based Sources Protocol (Decision IG.21/7). This is now legally binding. Lesser contributions include the adoption at municipal level of four of the five CPPS action plans and the adoption of the revised management plan for Lake Chilika. The 2014 UNEA resolution represents a further acknowledgment by governments of the need to take comprehensive action to address marine plastic debris and microplastics.
107. The 2014 PDS included two outcome milestones towards the project outcome or objective. While delivery dates are given, the explanatory text in the PDS emphasised that it was not expected that these milestones would be accomplished in the project period.
108. Substantial contributions have been made toward the first of these milestones, '*key pollutants and their impact on coastal and marine environment identified and assessed*' (June 2014) through technical reports including 'Valuing Plastics' (reported against this milestone in PIMS) and 'Our Nutrient Challenge'. With regard to more systematic assessments, the work of the GPML benefitted from strong engagement of regional seas programmes as a result of earlier marine litter assessments undertaken through the GPA in 2007/2008. The GPNM has been instrumental in establishing a new GEF project for a global nitrogen assessment that will be implemented by UNEP (Paragraph 84).
109. Project reporting in PIMS indicates that the second indicator, '*policy forums established in two countries to review existing policies, identify gaps and initiate discussion in formulating new policies and/or amending the existing ones to address the gaps*' (Sept 14), was not attained<sup>15</sup>. The project has faced difficulties in instigating policy change at the national level despite the global level commitments through the IGR-3, Rio+20 and UNEA and strong engagement of a wide cross section of stakeholders at national level in India and China. The approach taken through the GPML to work through the context the regional seas bodies and conventions is promising in this regard, particularly where there is a relevant protocol.
110. The rating for achievement of project goal and planned objectives is **moderately satisfactory** reflecting a significant contribution to the Mediterranean Regional Action Plan on Marine Litter, while recognising that this has yet to be translated into policy and action at the national level in Mediterranean countries.

## D. Sustainability and Replication

111. The following sections are concerned with the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends, and are based on four aspects of sustainability.

### 1. Financial Sustainability

112. The immediate legacy of the project is the Partnerships themselves. There is a need for long term core support to maintain UNEP's secretariat role to the Partnerships for which a framework is provided through the 2012 reconfiguration of UNEP's support to the Global Programme of Action. Experience from this project has pointed to the importance of being able to actively involve partners in activities ranging from knowledge generation to demonstration projects. The need for ongoing funding is considered a potential threat in view of difficulties experienced mobilizing funding for the 53-P5 project. Support to an existing secretariat typically presents a less attractive option to donors than tangible activities but prospects for resource mobilization have improved with the Partnerships now integrated into UNEP's PoW for 2014-2015.
113. UNEP has secured medium term and consistent support for the GPML from the Government of Norway and the Government of the Netherlands and the high profile nature of the plastics issue, together with political support, means funds are likely to be available for activities implemented by UNEP or directly by partners.

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<sup>15</sup> The reported attainment of the similar component 1 milestone was not substantiated in this evaluation

114. The funding situation for the GPNM is less certain with only a small financial allocation secured for the new UNEP project in 2015-2016. The GNC project will be completed in late 2016 and the Partnership is unlikely to be considered eligible for further institutional support from GEF. There is very good leverage potential and GEF is supporting a wide range of regional initiatives in this area.
115. Some partners including SPREP and CPPS stressed the importance of follow on financing to allow them to consolidate and scale up the success to date. At the same time, MAP has demonstrated the potential to generate such funding from external sources (Paragraph 129).
116. This dimension is rated as **likely for litter** based on the longer term support for work on marine litter and the integration of the partnerships into the GPA and UNEP Programmes of Work, and **moderately likely for nutrients**.

## **2. Socio-political Sustainability**

117. The 53-P5 project has been largely global and normative in nature and there are no immediate socio-political threats. The Partnerships have generated a broad-based political support based on effective and targeted awareness raising about the importance of the issues they address. The project and the institutional support of UNEP have been important drivers in this regard.
118. Partners responsible for the demonstration projects have reported good national or organizational ownership of the results with examples including the adoption of four municipal strategies in the CPPS countries, maintenance of booms by the government of Samoa, and amendments to the Lake Chilika Management Plan. The CDA has drafted a follow on ecosystem health report card for 2014 in line with its revised management plan.
119. This dimension is rated as **highly likely** based on the broad based political support for the Partnerships and the consensus on the need for actions in these areas.

## **3. Institutional Framework**

120. The strengthening of the GPNM and establishment of the GPML reflect the mandate given to UNEP and to the GPA by the Intergovernmental Review Meeting and represent a significant strengthening of the institutional framework to address land based sources of marine pollution. The Partnerships are intended to bring together relevant stakeholders including international, regional, national and local organizations to address the issues of marine nutrients and of marine litter in a coordinated manner. They have been widely recognised and endorsed through international policy meetings and, though this project. Additional work is required to consolidate the Partnerships including through further development of the organizational structures and governance mechanisms<sup>16</sup>.
121. The partnerships are supported by the GPA Coordination Unit, as Secretariat, and ongoing support is guaranteed in the immediate future by the mandate given to UNEP by the IGR, and, at a more practical level by inclusion of the Partnerships as an integral part of UNEP's programme of work. Follow on projects responding to PoW outputs have been approved for marine litter under the Ecosystem Management subprogramme and for nutrient management under the Chemicals and Waste subprogramme.
122. The project facilitated and enabled actions by member organizations and funded a number of direct interventions, many of which are already associated with catalytic effects (See *catalytic effects*, below). At this stage, active engagement in project activities is an important incentive for members. GPNM has experienced some attrition in core (Steering Group) membership that may reflect the limited thematic scope of its activities (with an increasing focus on fertilisers) or a failure to translate the engagement of individuals into an engagement by their organizations. The GPNM

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<sup>16</sup> The GPML issued comprehensive guidance and a roadmap in the revised Draft Framework Document/Operational Guidelines in February 2015

thus faces some institutional challenges in 2016 with the completion of the GNC project and retirement of the Chair<sup>17</sup>.

123. The Partnerships' efforts to strengthen engagement at regional and national levels by exploring the creation of regional chapters have met with only limited success to date, with GPNM Regional Platforms for Asia and for the Caribbean appearing to exist on paper only. In contrast efforts to engage regional seas programmes have been very successful with the established regional institutions able to facilitate policy development, action planning and implementation of demonstration projects.
124. The rating on this aspect of sustainability is **moderately likely for nutrients and likely for litter**, reflecting the establishment and ongoing commitment to the Partnerships but also the need for further work to ensure the continued engagement of a broad cross section of partners.

#### **4. Environmental Sustainability**

125. There is no evidence that the project outcomes will affect the environments such a way as to affect sustainability of project results. The rating on this dimension of sustainability is **Likely**.
126. The overall rating on sustainability is based on the lowest rated individual rating in this section and is **moderately likely for nutrients and likely for litter**.

#### **5. Catalytic Role and Replication**

127. The strategy for the project is catalytic in nature with the Partnerships intended to mobilize and facilitate the efforts of a wide cross section of stakeholders towards reduction of land based sources of marine pollution. At the same time, the positioning of the project in the longer term work programme of the GPA illustrates how sustained effort is required to bring about results.
128. The project support to the GPML has deliberately set out to create a 'snowball' effect by demonstrating a wide range of interventions that actively engage rather than simply inform a cross section of stakeholders ranging from government agencies to consumers.
129. Some longer term results of this engagement are already visible and more can be expected:
  - The Mediterranean Regional Action Plan on Marine Litter is now legally binding and UNEP MAP has mobilized funding through the European Union to help countries meet their obligations related to implementation of the plan at national level.
  - The 'untangled' work with the WSPA has led to the launch of the International Ghost Gear Initiative that now involves individuals representing over 100 organizations
  - Support to Beat the MicroBead has contributed to consumer awareness and in turn to the growing number of brands that are phasing out use of microplastics in personal care products and cosmetics. Legislation against use of microplastics in such products is now being drawn up including, recently, in the USA.
130. With regard to nutrients, steering committee members of the GPNM have been willing and able to contribute on a voluntary basis to the Partnership increasing its visibility at a wide range of meetings and generating technical outputs through the Task Teams established in 2013.
131. Opinions differ as to whether the 53-P5 project brought about or was developed in response to the development of the GNC project. Either way it is clear that the co-finance provided through this project, including direct support through the UNEP Environment Fund for the project manager salary, was an important part of the required co-financing for the GNC project.
132. The secretariat and GPNM also supported development of two further initiatives, the GEF approved global project, *Targeted Research for improving understanding of the Global Nitrogen Cycle and demonstration of an International Nutrient Management System* and the regional

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<sup>17</sup> The partnership has not yet established or adopted formal procedures to nominate or elect a new chair

assessment, *Controlling Nutrient Loading and Eutrophication of Coastal Waters of the South Asian Seas Region*.

133. The project approaches including establishing the case for action, networking, knowledge generation and sharing, training, and, to a lesser extent, communications – as well as the Partnerships themselves – can be considered as drivers of change that would facilitate replication of demonstration activities and of other successful approaches to tackle land based sources of marine pollution.
134. GPNM products including the compilation of experience, toolkit and case studies are designed to stimulate and support replication of good practice. While these have yet to be made readily accessible to a wider audience, engagement of industry bodies in the Partnership has broadened the effort to include key audiences. A good example of this is the work of the Task Team on nutrient use efficiency.
135. With regard to specific examples, the nutrients component successfully initiated replication of the Lake Chilika healthcard in Lake Laguna with the support of the GNC project and the local authority. The approach was also featured in a national workshop in India and attracted interest from other coastal and lake authorities.
136. On litter, UNEP has promoted the wider development of regional action plans on marine litter through regional seas conventions, showcasing the Mediterranean example including at the 2013 International Conference on Prevention and Management of Marine Litter in European Seas in Berlin. Two other European regional seas bodies, OSPAR and Helcom, adopted action plans in 2014 and 2015 and UNEP is now supporting the Black Sea to develop a similar plan.
137. The rating on catalytic role and replication is **satisfactory for nutrients** and **highly satisfactory for litter** reflecting the strategic approach of the project to promote replication and evidence of catalytic effects in a number of areas particularly for litter.

### ***Summing Up***

138. The overall rating on sustainability is usually based on the weakest aspect of sustainability in that this represents the greatest threat to overall sustainability. This would lead to a rating of 'likely'. The combination of a funding shortfall in the current PoW cycle and further need to consolidate governance structures is seen as presenting some risks to the GPNM and the overall rating is therefore **moderately likely**.

### **E. Efficiency**

139. The project was implemented over an effective period of 48 months<sup>18</sup> instead of the 18 months originally planned. The extended implementation period primarily reflects difficulties in mobilizing funding with GNC funding available 18 months after the start date and substantial funding for litter being available only in the last 18 months of the project. The budget shortfall necessitated an incremental approach in earlier stages of the project and the approach can be contrasted with UNEP-led initiatives such as such as the *Climate and Clean Air Coalition to Reduce Short-Lived Climate Pollutants* (CCAC) that had a secured budget of EUR 1 million at its outset as well as a very high profile launch.
140. Work on litter was able to proceed with in the absence of dedicated funding as a result of i) secured staff support through the GPA leading up to the launch of the GPML and ii) owing to the strong partnership with NOAA leading up to and following the Honolulu conference. This combined with the strong relationship with regional seas established through earlier regional marine litter assessments enabled the project to achieve remarkable progress in the last 18 months of project; a trajectory that has continued with further financial support into 2015.

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<sup>18</sup> Based on a start date of December 2011. This increases to 54 months if the intended start date is considered)

141. Work on nutrients also depended on secured staff support with some access to discretionary (non-earmarked) funding in the first biennium. While GNC funding as well as the momentum provided by the larger GNC project has been vital for delivery of Component 3. The GNC project duration reverted to four years after the mid-term review meaning 53-P5 deliverables dependent on work under the GNC project could not be completed as planned.
142. As well as drawing on the core GPA staffing, the project benefitted from and capitalised on existing GPA relationships and structures (such as the Intergovernmental Review) and the built on work conducted in previous years including establishment of the GPNM in 2009 and the regional litter assessments conducted in 2007-08. The project made very effective use of a wide range of global and regional policy fora to promote the Partnerships and, to a lesser extent, the project activities.
143. Demonstration activities were conducted with established and suitably qualified partners drawing on their mandates, competitive advantage and established networks such as the International Nitrogen Network. Individual expertise was also mobilized, often on a voluntary basis.
144. Looking ahead, the Partnerships and networks can be expected to contribute to overall more efficient delivery amongst actors – a soft coordination mechanism based on information sharing and cooperation.
145. The overall rating on efficiency of **moderately satisfactory** is based on i) the unsatisfactory situation of launching a project that is expected to deliver meaningful results in a given PoW period in the absence of secured funding and ii) the good progress made in delivery once funding was secured, and ability to capitalise on established relationships and the collaboration of qualified partners.

## F. Factors Affecting Project Performance

### **1. Preparation and readiness**

146. The following paragraphs are concerned with the quality of project design and preparation but also reflect processes leading to revised design and intervention strategy in the first year of the project. The different components of the project were largely independent in the original project document and were developed to differing degrees.
147. Component 1 was a straightforward assessment to be undertaken by the UNEP Division of Early Warning and Assessment (DEWA) and involved relevant technical and regional partners as well as collaboration with a number of relevant projects under the HSHW and Resource Efficiency subprogrammes in part reflecting the suggestions of PRC. The work appeared to be feasible as designed but could not go ahead in the absence of secured funding. The GPA pulled back from work on pesticides in 2012 in view of the new direction provided by the Manila mandate and the work was refocused on the 'Our Nutrient World' publication and related policy messaging.
148. Component 2 was to be a broad based activity campaigning activity. The proposal lacks detail, but did identify potential collaborators. There was no secured funding. The project document anticipates and identifies specific stakeholders in relation to the organization of the 2011 Marine Debris Conference that led to the reorientation of this component and focus on litter. The revised project strategy was set out in general terms in the 'way forward' document presented to IGR-3, guided by the priorities in the Honolulu Strategy and in the October 2012 PDS.
149. The proposal is mainly structured around Component 3, further development of the GPNM, which was largely implemented as designed. With regard to preparation, the document does not refer to consultations with stakeholders but these can be assumed to have taken place through the regular discussions of the recently created GPNM steering Committee and in the ongoing development of the GNC project which benefitted from a GEF project preparation grant in 2010.
150. With regard to feasibility, the timing for this component was unrealistic in view of the intended fit with the GNC project that was expected to run over four-year time frame but had not yet been fully

approved. The original project duration was 18 months (June 2010 to December 2011) and is not considered realistic to achieve the outcome owing to the length of a typical policy and planning processes at the national level.

151. The main threat to feasibility was the lack of secured resources at the start of the project though prospects for work on Component 3 were reasonable in view of the GEF Secretariat clearance of the project identification form for the GNC project with a budget of US\$ 1.7 million. Resource availability was identified in the project document as a risk characterised by high likelihood and high impact severity and this proved a determinant factor for Components 1 and 2.
152. With regard to project design, the overall strategy of Component 3 was to use scientific information and knowledge, including from demonstration projects, to inform policy development and action at the national level. The intervention described in the document largely stops at the level of making the information available for improved policy. It includes some ideas as to how this could be made accessible through regional chapters and could mobilize action through national fora but these ideas are not fully developed. The activities of the Component 3 are normative and foundational in nature but would not alone bring about the expected outcome at national level.
153. The June 2011 Project Review Committee review of the 53-P5 project raised this issue from the perspective of the limited consideration of actors whose actions need to change in order to reduce land based sources of nutrients. The management response argued that such actors (e.g. farmers) are represented in this largely normative project by industry associations (private sector bodies).
154. The overall rating on this factor is **moderately unsatisfactory** based on lack of secured funding at the start of the project, unrealistic timing and insufficient consideration in the project design of how to bring about systematic change at the national level.

## **2. Project implementation and management**

### **Implementation arrangements**

155. The project document envisaged delivery by the (then) Marine and Coastal Ecosystems Branch in DEPI<sup>19</sup>, as host of the GPA Coordinating Unit. It indicated monitoring would be undertaken with the HSHW subprogramme coordinator in the Division of Technology, Industry and Economics (DTIE). Component 1 was to be based on the work of an interdivisional working group while Components 2 and 3 were to be overseen by an International Steering Group. With regard to staffing, the project document refers to the need to employ a dedicated project manager while the budget refers to two staff members (a manager and an officer), each of whom would deliver on all three components.
156. The project was implemented as planned by GPA with two staff i) a project manager who was also responsible for the inception phase and then implementation phase with overall responsibility for the project and day to day responsibility for Components 1 and 3, and ii) a part time project officer who has taken responsibility for component 2, alongside a wider set of responsibilities in the GPA Unit, covering wastewater (to late 2012) and communications (throughout the project period).
157. The interdivisional task force on the pesticides survey was reportedly established<sup>20</sup> but did not become operational in the absence of funding and subsequently in the absence of a mandate for work on pesticides. Work on Component 2 was initiated in collaboration with a steering group established for Honolulu conference, and subsequently has been broadly guided by the Steering Group of the GPML. Work on Component 3 was subject to the oversight and guidance of the GPNM Steering Group that also served as the Steering Group for the GNC project.
158. Both Steering groups have taken strategic perspective on the overall development and direction of the Partnerships as well as technical outputs rather than a specific interest in project

<sup>19</sup>This became the *Freshwater and Marine Ecosystems Branch (FMEB)* for most of the project implementation period

<sup>20</sup> Reported on PIMS

management. There is little evidence of the Steering Groups playing a role in identification of project activities; instead these were guided by the project document, the GNC inception report and more recently a 2015 workplan for the work on nutrients and by the Honolulu Strategy, outputs of the 2013 partnership meetings, and 'planned next steps' presented to the IGR for the work (for work on litter).

### ***Adaptive Management***

159. The project was originally designed to be delivered in the context of the 2010-2011 PoW with an 18-month duration intended to start in June 2010. In practice this was a difficult biennium in view of the absence of secured funding at the start of the project, low funding allocations, as well as the late start of the project with full PRC approval of the project taking place only in December 2010.
160. The absence of secured funding at the start of the project and incremental (and at times discretionary) nature of further funding made planning and programming difficult. The need for adaptive management was very strong and formalised through two project document supplements (PDSs). The stated purpose of the supplements was to request a project extension, initially to December 2013 (two years) and then to September 2014 (9 months). The justification for the extensions was the delayed project start date, attributed to late approval of the project by PRC, and difficulties in resource mobilization. A secondary reason for the extensions was to align the projects to the prevailing programme of work. Each of the supplements includes additional project milestones with the second supplement introducing two outcome level milestones.
161. The changes made in the October 2012 PDS also reflect the revised GPA mandate and were more profound than is acknowledged, with the project effectively split into two independent parts and the litter work pursuing an entirely new strategy with long term resource implications for UNEP. A separate UNEP GPA initiative on wastewater was also established. The changes made were necessary and were helpful in moving the project forward after a difficult first year.
162. With regard to work planning, each of the PDSs includes a revised delivery plan and budget. The 2012 PDS introduced an activity-based budget for 2012-2013 that summarises inputs required to deliver the original and new milestones, and expected timing. In some cases, dates are unrealistic in that they do not take account of dependence on work to be delivered through the GNC project (e.g. toolkit production). Additions in 2014 reflect the additional milestones and the receipt of funding for litter in 2013. Information in the sections of table dealing with the 2012-2013 biennium were largely unchanged despite significant variances in implementation, committed expenditure and timing of the activities that had been planned for that period.

### ***Progress Tracking and Reporting***

163. UNEP project document indicated that detailed half-year progress reports as well as a final substantive report would be prepared by the project manager. These were not required and were not produced but the project progress was tracked on PIMS (See *Monitoring* below) in line with standard requirements for UNEP projects.
164. The only formal reporting required by donors was for the GEF GNC project that was supposed to produce six-monthly project implementation reviews (PIRs). Just one PIR for the period to June 2013 was completed in the period covered by this evaluation, supplemented by tabulated updates prepared for the project Steering Committee covering the period to April 2013 and February 2014. Efforts have been made to improve reporting following recruitment of a new project manager and an advanced draft of the PIR for June 2015 was made available for this evaluation in October 2015.
165. GPA has also reported on the initiatives to its intergovernmental review (IGR-3) and more broadly on progress under the Partnerships to various stakeholder and partnership fora and to the Steering Committees. A brief report on the litter component was prepared for the April 2014 GPML Steering Committee meeting.

### ***Challenges***

166. Aside from the difficulty in mobilizing funding in a timely manner, the main difficulty faced with regard to implementation arrangements was the shortfall in staffing. Both project officers

continued to play a role in the day to day work of the GPA Coordination Unit and were involved in the preparation the IGR meeting in the lead up to January 2012. Staff resources were stretched particularly since 2013 for litter in view of the combined workload of representation and policy and the large number of subcontracts, and during 2014 for nutrients following the retirement of the project officer in April 2014.

167. The rating on implementation and management is **moderately satisfactory** with specific weaknesses in work planning and reporting.

### **3. Stakeholders participation and public awareness**

168. There was limited consideration of stakeholder participation in the project design (Para 152 & 153) with a focus on immediate partners rather than the wider set of stakeholders required to bring about change on the ground.

169. Stakeholder engagement has been central to the partnership approach adopted this project. With regard to involvement at crucial stages:

- There is no explicit reference in the 53-P5 project document to stakeholder involvement in the project design. Design of the nutrients component took part in the context of ongoing GPNM discussions and GEF GNC project discussion (Paragraph 149). Design of the litter component built on the process to organise the Marine Debris Conference.
- The further development of the project responded to the Manila Declaration, the outcome of the IGR-3. Work on litter was also based on the Honolulu Strategy which was finalized following the International Debris Conference that involved 440 participants from 38 countries (See also Sections on *Relevance* and *Ownership*).
- Steering groups were established for both Partnerships and have provided guidance on project deliverables (Paragraph 158).

170. The main platform for stakeholder engagement during project implementation has been the Partnerships themselves, with some differences between the approaches and outcomes for the two partnerships (See below). Both partnerships have been acknowledged at a very wide cross section of policy and technical events and both organised partnership sessions at the Second Global Conference on Land – Oceans Connections.

#### **GPNM**

171. The GPNM was already established when the project was launched. The Partnership website lists 44 members as of January 2016, including government agencies, UN agencies, NGOs, technical and research bodies, industry associations and programmes.

172. Partners active in the 53-P5 and GNC projects have typically been invited to join the Steering Committee alongside representatives of supporting countries, notably the USA and Netherlands. GPNM has also managed to reach the private sector through industry organizations concerned with fertilisers and plant nutrition that were also invited to join the Steering Committee. However, the associated focus of the Partnership on fertiliser use, identified by the Partnership as the upstream issue in need of most urgent attention, rather than ecosystems has disappointed some stakeholders<sup>21</sup>.

173. UNEP mobilized significant voluntary effort in support of the two projects through Steering Committee members including technical input and representation at a wide range of events that has had an important magnification effect. Individual Steering Committee members as well as a wider group of experts made important and voluntary contributions to the work of Task Teams initiated in 2013 (e.g. Nutrient use efficiency and, more recently, SDG indicators). Notwithstanding this strong voluntary effort, direct involvement in funded project activities has remained an

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<sup>21</sup> This separation also reflects the separation of nutrients and wastewater initiatives in the Manila declaration

important motivation for Steering Committee participants and there is some concern as to whether individuals will stay involved in the absence of centrally funded activities.

174. There has been some attrition of Steering Committee membership, notably of UN bodies who were not directly involved in the project activities since the very well attended GNC meeting of May 2013. It unclear whether this results from lack of direct involvement partnership activities, perceived lack of relevance for individuals or their organizations, or turnover in posts.
175. Efforts were made to expand the reach and structure of the GPNM though meetings to establish regional chapters for Asia and for the Caribbean. These were not active in the project period and do not appear to have taken off. The Asia Platform met under the auspices of the GNC project in 2015.
176. The idea of establishing national fora also met with limited success. (Para 195).

#### **GPML**

177. The Marine Litter Network was established with UNEP input as a direct result of the Debris Conference and has an active portal now closely associated with the GPML.
178. The GPML was launched as a follow up to the Manila Declaration. The wider membership now spans 64 organizations comprising NGOs, research institutions, UN agencies and, governmental organizations. The six-member Steering Committee now includes three governments, UNEP and two partner UN agencies, FAO and IMO, whose mandates with regard to marine litter complement that of the GPA.
179. Project activities involved a broad cross section of members including RSCAPs building on the regional marine litter assessments undertaken in 2007-2008, FAO and IMO based on their relevant competence and mandate, and NGOs.
180. The selection of project activities has deliberately engaged a wider set of project stakeholders with the intention to create a snowball effect of increasing support for the implementation of the Honolulu Strategy (See also *Catalytic Effects*). Involvement of regional seas is associated with outreach and reporting to member governments as well as opportunities to reach wider audiences such as the participants at the Small Island Developing States conference. Demonstration projects have involved a cross section of stakeholder from local to national levels. Work with IMO and FAO has raised the profile of the Partnership amongst their constituencies and governance bodies. Subcontractors reported they were not actively involved in the development of the Partnership or network during the project period.
181. A Revised Draft Framework Document/Operational Guidelines for the GPML issued in February 2015 sets out the roles and responsibilities of the Partnership structures in the context of an evolving institutional structure.

#### *Internal Collaboration and Links to Other UNEP Offices and Projects*

182. The project document identified important roles for DEWA in Component 1 and DCPI in Component 2 and envisaged links to several DTIE implemented projects<sup>22</sup>. These were not realised in view of the reorientation of the work. DCPI has been involved to a limited extent in communications around the 'Our Nutrient World' report and the UNEA plastics resolution (including preparation of a brochure) as well as featuring project themes in UNEP Yearbooks.
183. There has been limited engagement of UNEP regional offices but the litter component collaborated actives with UNEP-administered regional seas organizations, namely Caribbean Environment Plan, MAP (through MEDPOL - the Programme for the Assessment and Control of Marine Pollution in the Mediterranean), and NOWPAP. MAP was not involved in the decision to support the wastewater demonstration project in Egypt funding despite related funding having been earmarked for support to the Mediterranean Action plan.

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<sup>22</sup> HSHW (51-P1, 52-P2, 52-P4) and Resource Efficiency (61-P4, 61-P7 and 61-P8) in the PoW for 2010-2011

184. The marine litter project officer participates in the Steering Committee of the Global Partnership on Waste Management.

185. The project was designed to contribute to the DTIE-led HSHW subprogramme, with the subprogramme coordinator expected to play a role in project monitoring. This was not realised, perhaps as the theme of the project was rather marginal to UNEP's main work on chemicals that has been more narrowly focussed on support to conventions related to chemicals management. In practice much of the work under this project is cross cutting in nature with potential contributions to UNEP's work on resource efficiency, chemicals and waste and ecosystem management and there is potential to increase collaboration in all of these areas.

#### ***Communication and public awareness***

186. The Partnerships gained significant visibility through at a wide range of meetings including high level meetings, such as the 2012 Rio+20 meeting (both) and 11<sup>th</sup> Conference of Parties of the Convention on Biological Diversity (nutrients) and the 2014 UNEA (litter). This high level of recognition is a valuable foundation for future work for the Partnerships as well as for UNEP.

187. The Marine Litter Network has successfully engaged a community of practice through an online information portal that provides a knowledge hub and networking opportunities. This attractive up to date website includes active discussion boards and groups, a projects database, resources database /repository and other network facilities. It has over 300 signed up members.

188. With regard to public awareness the partnerships are featured as two of the three flagship issues on the UNEP GPA website which includes background on the issues and UNEP actions. The features are informative and accessible to an interested public. Excess nitrogen and plastic debris were featured as emerging issues in the UNEP Yearbook for 2014.

189. Marine litter has become a very high profile issue with immediate public interest in view of visible issue such as wildlife entanglement and many well-known champions supporting campaign efforts. UNEP GPA is one of many organizations taking action in this area and complements more populist approaches. Efforts associated with the 53-P5 project include:

- A well-structured marine litter network portal that was fully active by 2014.
- An attractive and informative brochure prepared as background for the 2014 UNEA Resolution and press covered associated with the resolution.
- Public awareness and use of the consumer information application developed through support to 'Beat the Microbead'.
- The GPML has a recently developed communications strategy while new initiatives such as the Massive Online Open Course (MOOC) launched in 2015 are expanding knowledge as well as generating publicity.

190. The issue of nutrients is less visible, more technical and less accessible for media organizations, and less appealing for the public.

- While it does contain useful information for specialist audiences, the GPNM/GNC Website is poorly designed with out of date content, gaps, and broken links. It is currently being revised in line with the recommendation the GNC review and expected to relaunch in 2016.
- 'Our Nutrient World' was featured in over 300 media reports, mainly as a result of a pre-launch press event in London.
- A short video commissioned with a well-known cartoonist won an international prize and has some 5000 YouTube views.
- The issue of reactive nitrogen is gaining a higher profile in view of its effects on ozone and on climate<sup>23</sup> and there is strong potential for reaching wider and more influential audiences.

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<sup>23</sup> See, for example, UNEP 2013. Drawing Down N2O to Protect Climate and the Ozone Layer. A UNEP Synthesis Report. United Nations Environment Programme (UNEP), Nairobi, Kenya; a report which involved some GPNM stakeholders but makes minimal reference to the partnership.

191. The overall rating on stakeholder engagement is **satisfactory** reflecting successes of the partnership approach in engaging a broad cross section of stakeholders.

#### **4. Country ownership and driven-ness**

192. The country ownership of the project is based in its foundations in the government mandated GPA, overseen by the intergovernmental review process. The partnerships approach was specifically mandated through the IGR-3 meeting and Manila Declaration. The Partnerships have been recognised and encouraged in a wide range of other international policy processes with the GPNM launched as a CSD partnership and the GPML launched at Rio+20. The implementation of the litter initiative has been specifically guided by the internationally acclaimed Honolulu Strategy and the 'way forward' proposal presented to IGR-3.

193. To date there has been quite limited country involvement in the Partnerships themselves, with just a handful of countries taking an active role in the Steering Committees and/or providing financial support for the UNEP project (USA, Netherlands, Norway, India). Norway is championing the marine litter issue, including through submission of the UNEA Resolution while US agencies are strongly committed to sharing experience at the international level.

194. Activities have been successfully implemented across a wide cross section of countries and regions and where necessary have been approved by the appropriate level of government. Local level plans generated or influenced through the project have been adopted in five countries

195. Individual governments are viewed as the key constituency for the GPA in general and for the Partnerships. However, the project has met with limited success in establishing national fora or in bringing about policy change at the national level. The example of India highlights the difficulty in influencing national policy: the project involved prominent actors from local through state to national level, including local authorities, state authorities, academic institutions, government institutions but was unable to make build the bridge from a successful and well received demonstration project to national policy. Interviewees indicated that it may have been helpful to draw attention to the link between active nitrogen and higher priority environmental issues – notably climate change.

196. In contrast there is strong potential for further roll out at national level through the legally binding regional action plan for the Mediterranean. The RSCAPs provide a stable institutional framework, governance mechanism and framework for generating funding and this model has good potential for replication in other regional seas. The GPNM is continuing to place emphasis on regional chapters as a means to engage national governments and to integrate nutrient issues into the development and implementation of the National Programmes of Action for the Protection of the Marine Environment from Land-based Activities.

197. The overall rating on country ownership is **satisfactory** based on the clear mandate and repeated support for the Partnerships but limited engagement of countries to date in the projects. There is good potential for this rating to increase to highly satisfactory as the Partnerships gain momentum in the 2016-2017 PoW biennium.

#### **5. Financial planning and management**

##### **Financial Planning**

198. The original project budget was based on the standard UNEP format and showed breakdowns by year (for two calendar years) and component. There is a limited breakdown of the budget and some large round sum figures appear inflated or are indistinct particularly under Component 2.

199. The project had a very high proportion of unsecured funding – none of the total project cost of US\$ 4,134,349 was identified as secured though a PIF had been approved for the related GEF GNC project.

200. The lack of secured funding at the start of the project and incremental nature of funding meant that project planning and management took place in a context of considerable uncertainty and had to be updated based on available funding. Discretionary allocations were made from funds available at GPA and branch level in the first year of the project as part of the annual activity planning at the Branch and Unit level. Revised project budgets were presented in each of the PDS but it is difficult to reconcile planned expenditures with actual income and the activity plan in the second revision does not appear to have taken account of actual funding received in 2012 and 2013.

### ***Income and Expenditure***

201. Annex 8 presents an overview of project income and expenditure based on information provided by the fund management officer (FMO). The total recorded income for the project was US\$ 1.72 million and recorded expenditure was US\$ 1.69 million. The largest single contributor was the Government of Norway (US\$ 1.17 million). Contributions from the governments of Italy and the Netherlands are understood to have been channelled through the GPA Trust Fund ('GPL' in Annex 8) though the USD 359,340 income and expenditure reported against this fund falls short of the reported receipts<sup>24</sup>. This is because operational expenditure under the GPA Trust Fund (GPL) is pooled and it has only been possible to identify direct expenditure in support of the 53-P5 project where this was associated with a third party funding agreement. Additional contributions were made through UNEP's Swedish Trust Fund and the Environment Fund.
202. Activities under two agreements continued into 2015: the agreement with IMO was extended to mid-2015, while activities under the agreement with the Egypt Holding Company for Water and Wastewater were completed in mid-2015. A small unspent balance on funding from the Government of Norway (US\$ 34,560) was returned to the donor at the end of December 2015. The project has not yet been financially closed.
203. The original project document anticipated a financial contribution of US\$ 1.7 million through the GEF GNC project and also referred to potential funding associated with the GNC project (cofinancing through project partners). The two PDSs indicate that the only source of income in 2012-2013 was a US\$ 1 million contribution through the GEF GNC project. The estimated overlap of US\$ 1 million was based on planned GNC activities with a broader and more advanced level of delivery than the 53-P5 project. The calculated overlap based on the GNC inception report and a review of subcontracts is approximately US\$ 440,000<sup>25</sup>, an amount which had not been fully expended at the end of 2014<sup>26</sup>.
204. Staffing costs for the project manager and project officers were covered outside the project budget through the UNEP Environment Fund. Costs for two full time staff were presented for two years in the original project budget, providing an indicative contribution from the environment fund over four years of US\$ 1.4 million. Taking into account the project manager's involvement in the GEF GNC and 53-P5 project, absence of a project manager from April 2014, and other responsibilities of the project officer (Para 156) the total cost of staff time for the 53-P5 project works out at US\$ 0.7 million.
205. This brings the estimated total project expenditure to US\$ 2.83 million.
206. There is no evidence of financial reporting for the 53-P5 project and this was not required by project donors. The financial data on PIMS, in the PDSs and information on sources of income and expenditure based on budget lines in signed agreements are incompatible. Managers reported that they were able to track obligations based on agreements but did not always have timely access to information on other expenditures such as travel and meeting costs. However,

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<sup>24</sup> The project document supplement for 2012 indicates that UD\$ 350,000 was received from the government of Italy. The funding, earmarked for work in support of the Mediterranean Action Plan, had been held in the GPA Trust fund since the early 2000s. The Government of Netherlands made a contribution of EUR 50,000 per year for work on marine litter in 2011, 2012, 2013 and 2014 that was allocated to the GPA Trust Fund.

<sup>25</sup> Based on the budget summary on i) page 28 & 29 of the GNC inception report and amended based on actual allocations for three budget lines based on available contracts issued to PEMSEA and CDA.

<sup>26</sup> Reported expenditure on the GEF project as of 31 December 2014 was 1.27 million including obligations.

they did not receive information on the allocation and availability of earmarked funding channeled through the GPA trust fund.

### **Other Administrative Processes**

207. At least 16 funding agreements were prepared between June 2011 and July 2014 including six related to nutrients and at least ten related to marine litter<sup>27</sup>. Two allotments were made under the litter component to Regional Seas coordination bodies managed by UNEP. Funding agreements were drawn up and in general were extended in an appropriate manner. The interventions were strongly targeted based on the project documents and other relevant guidance and there is not any competitive tendering or other major procurement activities.
208. There appears to be some confusion in allocation of costs between the GNC and 53-P5 project; a problem associated more with guidance from the project manager than financial management. At last two 53-P5 contractors were contracted for further related activities under the GNC project and this led to some confusion in subcontractor reporting and accountability<sup>28</sup>. The GNC project manager has indicated that at least one set of activities assigned to the 53-P5 project in 2012 or 2013 should have been covered through the GNC project.
209. One sub-contractor reported minor delays with advancement of funding but was able to cover activities from their own budget, so there were no effects on overall delivery.
210. The project staff was appointed from the existing GPA team. There was a six-month gap between the retirement of the project manager in April 2014 and recruitment of his replacement in December 2014. Limited support was provided by the GPA Coordinator in this period while the GPNM Chair provided significant support on the GNC project. The former project manager was hired as a consultant through a partner organization to support development of the follow on nutrient PoW project in 2015, providing for some continuity and handover.

### ***Co-financing and Leveraged Resources***

211. The project document does not specifically refer to mobilization of cofinance. This was not required for a UNEP project and does not appear to have been a requirement for any of the earmarked project funding.
212. Partners were asked to mobilize cofinance for a number of contracted activities under Component 3, corresponding in the case of the CDA to its commitments as a cofinancing partner to the GNC project. CDA reported total cofinancing of US\$ 497,807, an amount considerably higher than the US\$ 66,000 anticipated in the final funding agreement and largely represented by monitoring and laboratory equipment provided through a World Bank project. Other partners have reported in kind support.
213. In kind contributions by partners outside the context of agreements have been considerable, particularly the technical input of Steering Committee members and Task Team members of the GPNM.
214. The project has contributed to the pledged UNEP cofinancing of the GEF GNC project of US\$ 761,765, an amount that is plausible in view of direct project support plus staff time provided by UNEP. The GNC contribution to activities reported in this evaluation is estimated at US\$ 444,000.
215. The concept of leveraged funding is not really applicable for this project in view of the absence of funding at the start of the project. There is good potential for further resource mobilization for activities initiated or supported under this project.

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<sup>27</sup> Copies of seven litter agreements were provided for the evaluation and three others confirmed to exist

<sup>28</sup>e.g. Correspondence from one subcontractor includes a financial report on a GNC contract together with a formal request for payment of the reported balance on one contract to be paid from other contract.

## **6. Supervision, guidance and technical backstopping**

### **Supervision and oversight**

216. The project manager reported to the GPA Coordinator who reported in turn to the head of the FMEB within DEPI. There was some loss of continuity in oversight as the GPA Coordinator changed role in April 2011. The role was covered by an officer-in-charge during 2011 and a new Coordinator was appointed at the start of 2012.
217. The GPA framework and IGR mandate provided an important role in allowing the project to access international policy events and the GPA Coordinator and Branch Head supported the project and Partnerships through participation in policy and technical meetings and side events. Nevertheless, several interviewees remarked on the limited involvement or 'hands off' involvement of senior management in the project.
218. The evaluation identified two areas where stronger project supervision would have improved the accuracy and utility of information for effective application of UNEP's quality assurance systems:
- Lack of candour on PIMS reporting for nutrients giving a misleadingly positive impression of the project's progress and contribution to the PoW particularly in the first biennium;
  - Failure to highlight the extent of changes to the project in the September 2014 PDS, despite this entailing a long term institutional commitment (to the GPML) and providing the justification for substantial resource mobilization.
219. The absence of a detailed project document for plastics means that financial allocations were largely made on a discretionary and case by case basis presenting a potential (though not realised) risk for overall coherence of work under this component. At a practical level a project document and detailed workplan could have averted minor irritations such as difficulties in obtaining travel authorisations resulting from differences between the GPA Coordinator and Branch Head.

### **Technical Backstopping**

220. The GPNM and GPML Steering Committees are strategic in nature, concerned with the overall direction of the Partnerships and not specifically with the 53-P5 project for which their roles were nominal. The GPNM Steering Committee did however serve as the Steering Committee for the GNC, an arrangement that may be considered self-serving given the purpose of the project to strengthen the Partnership but for which there is no immediately obvious alternative.
221. The GPNM Steering Committee meeting involved substantive technical discussions of relevance to activities under the 53-P5 and GNC projects. Members have provided a role in technical backstopping including through provision of comments on individual deliverables, though some Task Team leads commented they received limited feedback owing to the busy schedules of their counterparts. This affects the extent to which Team outputs can be said to represent the views of the Partnership as a whole.
222. The project has collaborated with and mobilized well qualified partners in all areas.
223. There is no evidence of technical backstopping through the HSHW sub-programme coordinator in DTIE<sup>29</sup> or of any substantive role played in project level monitoring. As a member of their steering committee, the programme officer for litter ensures liaison with the Global Partnership on Waste Management, for which UNEP's International Environmental Technology Centre acts a Secretariat.
224. The rating supervision, guidance and technical backstopping is **moderately satisfactory**.

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<sup>29</sup> Chemicals and Waste in 2014

## **7. Monitoring and evaluation**

### ***M&E Design***

225. The project document included a brief section on monitoring and reporting based on standard arrangements for a typical grant supported project (See also *Management / reporting*).
226. The original logframe included one or more indicators for each output, some of which were set at outcome level. In general, the indicators were not SMART, with several lacking targets and most lacking specific timeframes. The indicators were later revised in line with the outputs in the 2012 PDS. Timeframes and targets, including for milestone indicators, were added in the UNEP Programme Information and Management System (PIMS).
227. The process orientation of monitoring /reporting was largely appropriate for a project of this kind with the majority of indicators essentially progress oriented with no need for a baseline. The proposed means of verification for the outcome indicator implied an extensive review that was beyond the scope of this project.
228. The rating for M&E design is moderately satisfactory reflecting weak logframe indicators but further development of indicators and targets in PIMS.

### ***Budgeting and funding for M&E***

229. The original UNEP project budget included funding in year two for an evaluation spanning the three project components. There was no budget allocation for evaluation in the October 2012 PDS<sup>30</sup> while the March 2014 supplement included an allocation for completion of the GNC mid-term review. Funding was allocated in the GNC project budget for a mid-term and final evaluation of that project.
230. This evaluation has been funded from the GNC project budget in view of the absence of dedicated funding for an evaluation in the 53-P5 project. This seemingly anomalous situation may reflect that the mid- term review for the GNC project was planned and budgeted as an activity and milestone under the 53-P5 project. A related coding error was reportedly being corrected as of March 2016<sup>31</sup>.
231. There was no explicit budgeting for monitoring but monitoring and/or assessment have been built into a number of project activities. The project was largely process oriented with straightforward indicators and there was no specific need for a budget for monitoring.
232. The rating for M&E budgeting is moderately unsatisfactory.

### ***M&E Plan Implementation***

233. The main tracking tool for the project has been PIMS which includes the revised project outputs and milestones as updated by the project document supplements, and related indicators based on the project logframe.
234. The reporting on PIMS is reflected in [Annex 6](#). Reporting covered nine of the 15 Component 1 milestones; 12 of the 19 Component 2 milestones and 10 of the 17 Component 3 milestones. Many of the gaps are covered by outcome indicators, represent milestones replaced with new timeline, or, in the case of litter address minor achievements that were no longer relevant after 2012. In addition, a number of more significant milestones related to nutrients appear to have been removed in view of the overlap with the GEF GNC project, though in some cases there were financial contributions through the 53-P5 project.

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<sup>30</sup> Which included an activity based budget for 2012-2013

<sup>31</sup> This had not been confirmed as of 27 May 2016 and is not reflected in Annex 8.

235. The quality of information on PIMS is variable. For nutrients, reporting on indicators delivery and on milestone attainment exaggerates the achievement of the project. The reporting is repetitive with key products or processes included against multiple milestones, and explanatory texts or justifications are often absent. Many milestones are missing. For litter, delivery is masked by extended and repetitive explanations that obscure achievements but distinct results against each milestone can generally be distinguished. The milestones only represent part of the work undertaken through the project. (See also, *Management / Reporting*, above)
236. The 2014 reporting in PIMS shows contributions to only one expected accomplishment (under Chemicals and Waste) and to one PoW output in line with guidance in the programme manual. In practice the work on litter has contributed to a different subprogramme in the 2014-2015 biennium and there is a risk that any contribution to that subprogramme would be overlooked as results are rolled up to subprogramme level.
237. The project has contributed to strengthening of monitoring at demonstration sites, particularly Lake Chilika.
238. This is the first evaluation of the 53-P5 project. One of the 2014 project milestones refers to completion of the mid-term review of the GEF GNC Project. This was undertaken in 2014 by an external consultant with the oversight of the GEF Task Manager<sup>32</sup>, reflecting the standard approach for GEF project reviews. There are notable gaps including with regard to financial information that was not available to the reviewer.
239. The GNC Steering Committee was involved in the review but had indicated a preference for a self-assessment exercise that was initiated by some component leads. The review is an internal document and does not appear to have incorporated reviewers' comments and feedback, notably from the GNC Chair. There was not a formal management response to the review but the revised project workplan of March 2015 incorporates the review recommendations.
240. The rating for M&E implementation is moderately unsatisfactory for nutrients based on incomplete and poorly justified reporting in PIMS, and moderately satisfactory for litter.
241. The overall rating for M&E is **moderately unsatisfactory** for nutrients and **moderately satisfactory for litter**.

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<sup>32</sup> This was an internal project review and did not involve the UNEP Evaluation Office

## Part IV. Conclusions and Recommendations

### Conclusions

242. The '53-P5' project '*Managing Harmful Substance and Hazardous Waste through the Global Programme of Action in support of Regional Seas Agreements*' was implemented over a four-year period from December 2011 to December 2015. The project was designed in the context of the UNEP Programme of Work for 2010-2011 and specifically was intended to contribute to Output 536 under the Hazardous Substances and Harmful Wastes subprogramme, *The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer are subjected to tighter control*'.
243. The project had three components related UNEP's support to the Global Programme of Action for the protection of the Marine Environment from Land Based Sources (GPA): i) assessment of pesticides in coastal waters, ii) campaigning on land based sources, and iii) support to the Global Partnership on Nutrient Management. Component 3 was expected to be implemented in parallel with a Global Environment Facility Project on the global nutrient cycle (GNC) launched in May 2012 and delivery has been affected by the later than anticipated start of that project.
244. The project was substantially and appropriately revised in 2012 in response to the guidance provided by the GPA Intergovernmental Review at their 2012 meeting (Para 54 & 55). The reformulated Component 1 was less ambitious with a narrower scope of water quality and fertiliser management practices. Component 2 became more focused but also more ambitious with the aim to establish a Global Partnership on Marine Litter (Para 97). The revised project was largely implemented and managed as two distinct initiatives.
245. Successes of the project include the launch of the GPML and the high level of recognition of both Partnerships and of the issues that they set out to address. A range of knowledge products was initiated targeting technical and policy audience and stakeholders were mobilised through demonstration activities and task teams. Significant outcomes to which the project contributed include adoption of the Mediterranean Regional Action Plan on marine litter that is now legally binding and the adoption of a resolution on *marine plastic debris and microplastics* by 159 countries at the first United Nations Environment Assembly.
246. From a strategic perspective, insufficient attention was paid in project planning as to how the project would bring about change on the ground (Para 152). The two partnerships pursued different strategies to mobilise stakeholders which met with varying degrees of success: this is taken up under lessons.
247. Practical challenges faced by the GPA during implementation of the project include the absence of secured funding at the start of the project. (Para 70) and the unrealistic timing. Deliverables dependent on work under the GNC project could not be completed in the project period in view of the late start and extended delivery period of that project (Para 141). Staff resources were also stretched particularly for work on litter (Para 166).
248. Looking ahead, both partnerships now have a high level of recognition and this represents an important asset for UNEP and for the GPA (Para 186). The partnerships are now an integral part of UNEP's programme of work with related outputs approved for the 2014-2014 biennium. With regard to sustainability, the future of the GPML seems assured with strong public interest in this high profile issue, good prospects for follow up through regional seas programmes and other stakeholders, and immediate funding for secretariat support. The GPNM is dealing with a less visible issue and has occupied a narrower more technical niche. It has struggled to bring about firm commitments to nutrient reduction at the national level as higher profile issues have dominated the political agenda (Para 195). These issues are considered further under in the recommendations and lessons sections below.
249. The ratings in Table 3 reflect consideration of the full set of issues affecting or characterising project performance and impact that are discussed in Part III of the report. The summary comments highlight aspects of the assessment that best illustrate the rationale for the rating given. The overall rating for this project based on the evaluation findings is **moderately satisfactory for the work on nutrients** and **satisfactory for the work on litter**.

**Table 3. Summary of Ratings based on Performance Criteria described in Part III of the Report**

Criterion	Summary Assessment	Rating Nutrients	Rating Litter
<b>A. Strategic relevance</b>	Importance of the issues and appropriate revision of the project in response to the mandate from the 2012 IGR-3 meeting	HS	HS
<b>B. Achievement of outputs</b>	The rating for nutrients is moderately satisfactory with very limited delivery of Component 1 and incomplete Component 3 delivery in view of the overlap with and timing of the GNC project. The rating for litter is satisfactory reflecting the strategic nature of preparatory activities and efficient delivery once funding was received.	MS	S
<b>C. Effectiveness: Attainment of project objectives and results</b>		MS	S
1. Achievement of direct outcomes	The rating based on the reconstructed ToC (Annex 6-1, 6-2) is satisfactory.	MS	S
2. Likelihood of impact (ROtl)	The ratings for nutrients and litter are, respectively, moderately likely and highly likely See Annex 6-3, 6-4).	ML	HL
3. Achievement of project goal and planned objectives	Late but significant contribution through the Mediterranean Regional Action Plan on marine litter, while recognising that this has yet to be translated into policy and action at the national level.	MS	S
<b>D. Sustainability and replication</b>	The combination of a funding shortfall in the 2015-2016 PoW cycle and further need to consolidate governance structures is seen as presenting some risks to the GPNM.	ML	L
1. Financial	UNEP has longer term support for work on marine litter; integration of the partnerships into the GPA and UNEP Programmes of Work.	ML	L
2. Socio-political	Broad based political support for the partnerships and the consensus on the need for actions in these areas.	HL	HL
3. Institutional framework	Establishment and ongoing commitment to the Partnerships but need for further work to ensure the continued engagement of a broad cross section of partners.	ML	L
4. Environmental	There are no immediate concerns in this regard.	L	L
5. Catalytic role and replication	Strategic approach of the project to promote replication and evidence of catalytic effects particularly for litter.	S	HS
<b>E. Efficiency</b>	i) unsatisfactory launching a project that is expected to deliver meaningful results in a given PoW period in the absence of secured funding and ii) good progress made in delivery once funding was secured, and ability to capitalise on established relationships and collaboration of qualified partners	MS	MS

Criterion	Summary Assessment	Rating Nutrients	Rating Litter
<b>F. Factors affecting project performance</b>			
1. Preparation and readiness	Lack of secured funding at the start of the project, unrealistic timing and insufficient consideration in the project design of how to bring about systematic change at the national level.	MU	MU
2. Project implementation and management	There are some weaknesses in work planning and reporting.	MS	MS
3. Stakeholders participation and public awareness	The partnership approach was successful engaging a broad cross section of stakeholders.	MS	S
4. Country ownership and driven-ness	Countries provides a clear mandate and repeated support for the Partnerships but only a few countries have been directly involved in project activities and this has not (yet) led to policy change at national level.	S	S
5. Financial planning and management	The rating based is based on criteria set out in Annex 8.	MS	MS
6. UNEP supervision and backstopping	Specific weaknesses include lack of candour in reporting for nutrients and absence of a detailed project document for litter, combined with a 'hands off' supervision approach. Technical support was secured through external stakeholders.	MS	MS
7. Monitoring and evaluation		MU	MS
a. M&E Design	<i>Weak logframe indicators; further development of indicators and targets in PIMS.</i>	MS	MS
b. Budgeting and funding for M&E activities	<i>Appropriate budget allocation but absence of funding for the evaluation.</i>	MU	MU
c. M&E Plan Implementation	<i>Incomplete and poorly justified reporting in PIMS.</i>	MU	MS
<b>Overall project rating</b>		<b>MS</b>	<b>S</b>

**General Ratings**

HS = Highly Satisfactory  
 S = Satisfactory  
 MS = Moderately Satisfactory  
 MU = Moderately Unsatisfactory  
 U = Unsatisfactory  
 HU = Highly Unsatisfactory

**Ratings for sustainability sub-criteria**

HL = Highly Likely: There are no risks affecting this dimension of sustainability  
 L = Likely: There are minor risks affecting this dimension of sustainability  
 ML = Moderately Likely: There are moderate risks that affect this dimension of sustainability  
 MU = Moderately Unlikely: There are significant risks that affect this dimension of sustainability  
 U = Unlikely: There are severe risks that affect this dimension of sustainability  
 HU = Highly Unlikely: There are very severe risks that affect this dimension of sustainability

## **Lessons**

250. The following lessons are based on the evaluation findings related to project delivery and sustainability and on the explanatory factors considered in Part III-F of this report. The lessons address issues of relevance for other UNEP PoW projects and partnership initiatives. Some of issues are taken up under recommendations.

### ***Lessons from the Partnerships***

251. This evaluation has focussed on the 53-P5 project and has not undertaken a comprehensive review of the Partnerships. Nevertheless, there are some useful insights in the differing approaches of the partnerships particularly related to involvement of partners. The work on litter was able to capitalise on existing interest with the litter issue as well as earlier assessments conducted through the regional seas programmes. The nutrients component – seen from the perspective of the 53-P5 project – took a more focused technical approach, pulling together existing knowledge on nutrient management and mobilising the voluntary support of a core group of expert stakeholders,

252. Successful approaches by the Partnerships to engage a broader set of stakeholders have included:

- Effective involvement of regional seas programmes in policy work, mobilising their decision processes and government representatives (Litter).
- Working with other UN agencies based on their mandates and comparative advantages (Litter)<sup>33</sup>.
- Proactive approach to mobilising a cross section of partners and in a broad range of activities to generate a snowball effect (Litter).
- Development of a network portal with active networking tools and user uploaded content. (Litter).
- Working with designated authorities such as the CDA (Nutrients and Litter).
- Mobilising the voluntary support of expert stakeholders including through the work of Task Teams (Nutrients).
- Magnification of efforts through involvement of Steering Committee members based on their technical and policy expertise (Nutrients).
- Providing technical input to influential policy processes (Nutrients).
- Developed operational guidelines to formalise partners' engagement (Litter) and formalised application procedure.

253. Less successful approaches include the early efforts to develop regional chapters/ platforms for the GPNM that suffered from a lack of follow through, failure to establish national fora, and limited involvement of the broader membership of both partnerships.

254. The nutrients component – seen from the perspective of the 53-P5 project – took a more focused technical approach, pulling together existing knowledge on nutrient management and mobilising the voluntary support of a core group of expert stakeholders including through the work of Task Teams and in representational roles. It successfully engaged private sector bodies and their networks but was less successful in efforts to establish national fora and regional chapters. The latter lacked an institutional framework and had very limited involvement with project activities. There are also some concerns as to whether positions implicit in technical and policy recommendations can be said to represent the GPNM as a whole, presenting at least a hypothetical risk to the credibility of the Partnership.

255. These lessons are of relevance for a wide range of partnership initiatives and perhaps most immediately in the context of sharing experience within the GPA. Some issues are touched on in the recommendations related to stakeholder engagements and to institutional development of the GPNM.

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<sup>33</sup> Similarly, the Intergovernmental Oceanographic Commission of UNECSO plays a role in the GNC project

## **Project Approvals**

256. In hindsight, it was inadvisable to approve a project designed to contribute to a biennial programme of work project with very limited prospects of funding within the prevailing PoW period and with an unrealistic timeframe.
257. At the same time the GPA staff assigned to the project undertook important foundational activities in the first biennium including preparation of the fifth International Debris Conference, leading to the Honolulu Strategy, completion of the project document for the GEF GNC project and instigation of the inception phase and preparation of the Intergovernmental Review (IGR) leading to the revised mandate for the GPA. These activities set the scene for a stronger and more focussed project in the 2012-2013 biennium, but one which was no longer synchronised with the PoW Outputs (Para 43).
258. Revisions made to the project in 2012 were necessary and appropriate. The September 2012 project document supplement failed to draw attention to the extent of changes to Component 2, which had long term resource implications in view of the planned establishment the GPML (Para 147). The absence of a project document was associated with minor irritations on issues such as travel approvals and presented a potential risk in that there was no application of UNEPs quality control procedures related to use of substantial external funding (Para 218 & 219).
259. It is beyond the scope of this evaluation to make specific recommendations in this area but a number of lessons can be highlighted
- The allocation of staff and expenses in the 2010-2011 biennium and specifically leading up to i) launch of the GNC project and ii) the revision of component 2 in response to the Manila Declaration, and iii) mobilisation of funding was important and necessary in order to allow consultations, maintain momentum, and demonstrate UNEP's continued relevance and commitment related to work on litter and nutrients. One option to allow this work to proceed in the context of the UNEP programme of work, as part of the HSHW subprogramme, would have been to formally recognise the period leading up to identification of funding as a project development phase with associated seed funding.
  - The requirement to design a project in the context of the 2010-2011 biennium created a potential conflict with the impending guidance of the IGR-3 at its meeting in January 2012. A similar situation can be expected to arise in future programme cycles for the GPA and also for other intergovernmental processes for which UNEP serves as secretariat. While the UNEP PoW clearly provides guidance regarding UNEP's focus and comparative advantage, it would be useful to provide such programmes with reassurance regarding their ability to respond to intergovernmental mandates, including with regard to due consideration of such mandates in PRC approval.

## **Recommendations**

260. The 53-P5 project was completed in 2014 and follow on projects related to UNEP's PoW for 2014-2015 have already been designed. The following recommendations reflect some of the lessons and more general findings of this evaluation that are relevant for further development of work on land based sources of marine pollution and on the Partnerships.

### **1. Positioning of the Partnerships in UNEP's Programme of Work**

261. UNEP's 2014-2015 programme of work includes explicit Outputs for the GPML under the Ecosystems Management subprogramme and for the GPNM under the Chemicals and Waste subprogramme. This reflects a place-based orientation for work on plastics and an increasingly source oriented approach for the work on nutrients. In practice much of the work on these themes is cross cutting in nature with potential contributions to UNEP's work on resource efficiency, chemicals and waste and ecosystem management. There is potential to increase collaboration in all of these areas (Paragraph 185).

262. Specific opportunities related to work on nutrients include: i) Bringing together the GPA GPNM and Wastewater Initiatives to tackle nutrient hotspots through a place-based approach; ii) Regionalisation of the GPNM in collaboration with regional seas programmes to engage their government constituencies and establish meaningful targets in the context of an ecosystem approach. iii) Strengthening access to government decision processes by piggy-backing UNEP's work on the role active nitrogen in climate change and ozone depletion. Opportunities for work on marine litter include strengthening links between waste management and resource efficiency including through the re-launched Global Partnership on Waste Management.

**Recommendation 1.** Explore opportunities to broaden the relevance and reach of the Partnerships to UNEP's wider constituencies and reconsider positioning of the Partnerships in UNEP's PoW. (GPA Secretariat, Subprogramme Coordinators, relevant projects as input to design of UNEP's Medium Term Strategy (MTS) for 2018-2021).

## **2. Reinforcement of Stakeholder Engagement**

263. Together, the Partnerships have demonstrated a wide range of good practices related to stakeholder engagement. The GNC review included recommendation related to strengthening of communications on nutrients that are currently being implemented. The following recommendations address the desirability of accelerating partnership outcomes through governments as well as the potential to magnify the reach and ownership of Partnership activities through engagement of steering committee members and other champions.

**Recommendation 2-1.** Continue to strengthen government ownership and engagement with policy makers with a view reinforcing the integration of nutrients and litter management into national programmes of action on land based sources, including i) reinforcement of regional platforms and engagement of regional seas programmes and ii) building commitment and specific targets for action on nutrients and litter through the Intergovernmental Review process for the GPA. (GPA, GPML and GPNM, ongoing).

**Recommendation 2-2.** Consider greater delegation for participation in policy and technical events amongst Partnership Steering Committee members or other designated representatives with relevant technical knowhow. (*Ongoing in context of operationalization of the Partnerships*)

## **3. Formalisation of Operations - Nutrients**

264. With the current GPNM Chair retiring in 2016, the recognised need to expand the reach of the Partnership and concerns to ensure it provides a representative voice, there is a strong need for the GPNM to formalise its governance and operational structures in order to maintain its credibility.

**Recommendation 2.** Building on the work of the Task Team on Governance, as well as the model provided by the GPML, develop a governance framework and operational guidance for the GPNM that should include provisions related to i) appointment or elections of Steering Committee members and Chair, ii) expansion of the partnership reach through structures such as task teams, iii) development and presentation of opinions or technical guidance by or on behalf of the Partnership, and iv) science- based policy advocacy. (GPA with GPNM Chair and members of the Task Team by August 2016).

## **4. Staffing Needs – Litter**

265. Staff capacity for the work on litter has been stretched since the second half of 2013 in view of the large number of project subcontracts and the additional responsibilities of the project officer (Paragraph 156).

**Recommendation 4.** Undertake a review of staffing needs and professional grades including with a view to expanding support by at least one professional officer. Consider the option of hiring or placing one project officer in one of UNEP's regional offices based on the expected concentration of regional activities in order to facilitate contact with GPML members in that region. (GPA with GPML Chair by June 2016).

## **List of Annexes**

1. The Evaluation Terms of Reference including evaluation criteria
2. List of interviewees
3. Evaluation programme
4. List of documents reviewed / consulted
5. Summary of progress towards milestones
6. Details of the project's 'impact pathways' and the 'ROtI' analysis
7. Ratings on Financial planning and management:
8. Summary co-finance information and a statement of project expenditure
9. Brief CV of the consultant

## **Annex 1. Evaluation Terms of Reference**

### ***Objective and Scope of the Evaluation***

1. In line with the UNEP Evaluation Policy<sup>34</sup> and the UNEP Programme Manual<sup>35</sup>, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and INI, IOC-UNESCO, GETF, PEMSEA, Netherlands Energy Research Center, SCOPE, CEH, IFA, IFDC, ETH-Zurich, China Agricultural University, Indian Nitrogen Group, Regional Seas Secretariat, NOAA, FAO, Dutch Government, , and other partners of GPNM. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

2. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

- a) To what extent has the project contributed to a tighter control on the release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer?
- b) Did the project assist the countries to design and consolidate a fully functional global assessment report which is responsive to the national environmental needs and priorities? To what extent has the report assisted countries to adopt and apply knowledge on presence and extent of nutrients in coastal, marine waters and marine litter?
- c) To what extent were the project's partnerships and alliances over global concerns catalytic in supporting countries in their efforts in managing harmful substances and hazardous waste and promoting sustainable development through policy, legislative and institutional reform?
- d) How successful was the project in supporting the GPNM to put in place a workable platform for awareness rising on the links between fertilizer and pesticide use, and the varied impact of nutrient on human health, and environment?
- e) To what extent did the projects assist the countries to establish and consolidate a functional global partnership on marine litter that aimed to promote the adoption of economic instruments and policy measures to deal with marine litter/debris?
- f) How successful were the projects in assisting the countries to establish and consolidate a functional national system with regard to harmful chemicals and waste?
- g) To what extent are the tools and models developed by the Project of global significance?
- h) What were the key challenges to project implementation and what remedies can be proposed to support the implementation of similar projects in the future?
- i) To what extent the technical and managerial oversight of UNEP-Project was relevant to the accomplishment of results under GEF-funded GNC Project? Did this management arrangement ensured the required synergies and cooperation needed for the implementation of partial GNC Project's outputs?

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<sup>34</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>35</sup> [http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf)

### ***Overall Approach and Methods***

3. The Terminal Evaluation of the Project will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Project Manager and the Sub-programme Coordinators of the Harmful Substances and Hazardous Waste.

4. 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. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

5. The findings of the evaluation will be based on the following:

a) **A desk review of:**

- Relevant background documentation, inter alia:
  - UNEP Mid Term Strategy 2010-2013
  - UNEP Programme of Work (2010-2011, 2012-2013, 2014-2015), GEF Framework Priorities
  - Project Document
  - Project Document Supplement 2012, 2014
  - Project Terminal Report
  - Workshop and training reports
  - Project publications
  - PIMS extracts
  - Project website ([www.nutrientchallenge.org](http://www.nutrientchallenge.org)) or other relevant online publications (newsletters, papers, articles etc)
  - Similar evaluations and researches
  - Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining the release of harmful substance on marine environment, rivers and ozone layer.
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
- Documents pertaining the following project outputs
- MTR of the GEF-Funded Project (GNC)
- Evaluations/reviews of similar projects

b) **Interviews (individual or in group) with:**

- UNEP Project Manager
- GEF Programme Officer
- Project management team
- UNEP Fund Management Officer:
- Project partners, including: INI, SCOPE, CEH, IFA, IFDC, ETH-Zurich, China Agricultural University, Indian Nitrogen Group, Regional Seas Secretariat, NOAA, FAO, Dutch Government, Netherland Energy Research Center, and other partners of GNPM and marine litter collaborators.
- Relevant resource persons;
- For GEF-Funded GNC: UNEP/GPA, IOC/UNESCO, PEMSEA, Laguna Lake Development Authority, Chilika Lake Basin Authority, GPNM, GETF and national governments.
- NGOs and Governments, private sector companies, academia and research institutes involved.

c) **Field visits:** the Consultant will visit the project management team and the UNEP evaluation office in Nairobi, Kenya. After the inception mission, the selected countries for the country visits will be India and The Philippines. The country mission will serve to meet with the project stakeholders and to visits selected demonstration sites in the Chilika Lake and Manila Bay. The target countries represent 100 present of the project pilot sites.

### ***Key Evaluation principles***

6. 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.
7. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.
8. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
9. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, 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, trends and counterfactuals in relation to the intended project outcomes and impacts. It 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, trends or counterfactuals 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.
10. **The “Why?” Question.** As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention should be given to learning from the experience. Therefore, the “*Why?*” question should be at the front of the consultants’ minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of “*what*” the project performance was, and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category F – see below). 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 consultants 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*” at the time of evaluation.

11. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Communicating evaluation results. Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following: a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

### ***Evaluation criteria***

#### ***Strategic relevance***

12. The evaluation will assess, in retrospect, whether the project’s objectives and implementation strategies were consistent with global, regional and national environmental issues and needs.
13. The evaluation will assess whether the project was in-line with the GEF Harmful Substances and Hazardous Waste and Resource Efficiency focal area’s strategic priorities and operational programme(s).

14. The evaluation will also assess the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Subprogrammes (SP), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the SubProgrammes. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013. The magnitude and extent of any contributions and the causal linkages should be fully described.

15. The evaluation should assess the project's alignment / compliance with UNEP's policies and strategies. The evaluation should provide a brief narrative of the following:

1. *Alignment with the Bali Strategic Plan (BSP)*<sup>36</sup>. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
2. *Gender balance*. 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. Are the project intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance HR & GE?
3. *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns*. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
4. *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.

16. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups.

### **Achievement of Outputs**

17. The evaluation will assess, for each component, the project's success in producing the programmed outputs and milestones as presented in Table 2 and 3 above, both in quantity and quality, as well as their usefulness and timeliness.

18. Briefly explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results). Were key stakeholders appropriately involved in producing the programmed outputs?

### **Effectiveness: Attainment of Objectives and Planned Results**

19. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

20. The **Theory of Change** (ToC) of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term 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 major pathways; i.e. factors that affect 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). The ToC also clearly identifies the main stakeholders involved in the change processes.

21. The evaluation will reconstruct the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator will be expected to discuss the reconstructed TOC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the

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<sup>36</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

validity of impact drivers and assumptions described in the TOC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).

22. The assessment of effectiveness will be structured in three sub-sections:

- a) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For this project, the main question will be to what extent the project has contributed to the Project immediate outcomes.
- b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach<sup>37</sup>. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to [intermediate states], and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being.
- c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document<sup>38</sup>. This sub-section will refer back where applicable to the preceding 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 (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. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective. The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR and GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR and GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

### **Sustainability and replication**

23. 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 the 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, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

24. 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 stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent has the integration of HR and GE led to an increase in the likelihood of sustainability of project results?

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<sup>37</sup> Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

<sup>38</sup> Or any subsequent **formally approved** revision of the project document or logical framework.

- b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources<sup>39</sup> will be or will become available to use capacities built by 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 behaviour and environmental resources, goods or services?
- 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?

25. **Catalytic role and replication.** The *catalytic role* of UNEP 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 also aims to 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 behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed; provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour; contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches; contributed to *policy changes* (on paper and in implementation of policy); contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.; created opportunities for particular individuals or institutions ("champions") to catalyze change (without which the project would not have achieved all of its results).
  - Also to what extent the UNEP project was 'catalytic' to the formulation and implementation of GEF-funded GNC Project?

26. *Replication* 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 determine 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 learned?

### ***Efficiency***

27. 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 (severely constrained) secured 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 also assess the extent to which HR and GE were allocated specific and adequate budget in relation to the results achieved.

28. 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.

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<sup>39</sup> Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

- To what extent has the project capitalized on existing networks of UNEP divisions, regional seas programmes and GPA Action Plans around the world as well as expertise from other UN Agencies and initiatives such as UNESCO, FAO, UNIDO, UN Task Force and International Year of Sanitation, GPA Review Meeting, (INI Paris), UN-Water, and UN-Oceans?
29. The evaluator should look at these partnerships and assess their success and added value to the project.
- Did the project expand and was successful in its funding opportunities for co-financing through public-private partnerships?

#### **Factors and processes affecting project performance**

30. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders<sup>40</sup> adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? 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 partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

31. **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, 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 milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- b) Evaluate the effectiveness and efficiency of project management 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 teams and working groups established and the project execution arrangements at all levels.
- d) Assess the extent to which project management responded to direction and guidance provided by the UNEP Project Manager and project steering bodies including:
  - Interdivisional task force Component 1
  - Steering Committee Component 2
  - Steering Committee Component 3
  - Project Coordination Unit - Under Component 3- GEF-Funded GNC Project
- e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems. Additionally:
  - Assess the extent to which MRT recommendations were followed in a timely manner.
  - Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems;
  - Were project revisions helpful in accelerating the accomplishment of outputs?

**Stakeholder participation, cooperation and partnerships.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users such as government, academic institutions, private sector, NGO and local communities of project products. The TOC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the

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<sup>40</sup> 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.

causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- a) the approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
- b) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?
- f) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?
- g) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document<sup>41</sup>? Have complementarities been sought, synergies been optimized and duplications avoided?
- h) 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? This should be disaggregated for the main stakeholder groups identified in the inception report.
- i) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives to build stronger coherence and collaboration between participating organisations?
  - To what extent the project has coordinated its national activities with other similar project such as 51-P1 (that dealt with the mainstreaming of 'onshore' chemicals policy making), 61-P4, 61-P7 and 61-P8 (which dealt with sound technology development, mainstreaming resource efficiency aspects into national economic and development planning and coastal development)?
  - To what extent the campaign and advocacy components were developed in consultation with Projects 52-P2 and 61-P8?
  - To what extent the project was designed based on the explicit commitment of the governments and other key stakeholders, and built upon priorities identified in the specific regions and the GEF-International Waters?
  - Did this project work in conjunction with other projects (52-P2, 52-P4 and 61-P4, 61-P7 and 61-P8) designed under the thematic priority of Harmful Substances and Hazardous Waste and Resource Efficiency?
- j) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision-making? Additionally:
  - What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?
  - How and how well did the project sustain the commitment of various stakeholders by ensuring an effective coordination and partnership that facilitated implementation and monitoring and reporting?

32. **Communication and public awareness.** The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder

<sup>41</sup> [If the ProDoc mentions any opportunities for collaboration with other projects and programmes, present these here in the footnote]

groups identified in the inception report. Did the project identify and make use of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels? Additionally:

- a) The degree of project visibility to external stakeholders.
- b) The degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project.

33. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution and those participating in Project Steering Committees, Project Units, or any other partnership arrangement?

- k) To what extent have Governments 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? How and how well did the project stimulate country ownership of project outputs and outcomes? Additionally:
  - How the Governments have assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various contact institutions in the countries involved in the project and the timeliness of provision of counter-part funding to project activities?
  - To what extent has the political and institutional framework of the participating countries been conducive to project performance?
  - How responsive were the Governments to the coordination and guidance of UNEP supervision and GNC Project's Mid-Term Evaluation recommendations?

34. **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) Assess 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;

35. Present the extent to which 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).

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.

36. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP to prevent such irregularities in the future. Determine whether the measures taken were adequate.

37. **Supervision, guidance and technical 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.

38. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

- a) The adequacy of project supervision plans, inputs and processes; The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
- b) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?
- c) Was UNEP oversight and technical support adequate and efficient?

39. **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 assess 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:

- a) *M&E Design.* The evaluators should use the following questions to help assess the M&E design aspects:
  - Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?
  - How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
  - SMART-ness of indicators: Are there specific indicators in the logframe 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? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
  - To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders (from groups identified in the inception report) were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on HR and GE (including sex-disaggregated data)?
  - 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.
  - Were the common sets of outputs Project and GEF-funded GNC Project explicit and clearly presented in the log frame?
  - Did the log frame revision (pertaining common outputs) have taken place as per MRT recommendations?
  - Comparison between original log frame and the revised one; were the changes necessary and did they improve monitoring and evaluation of the project?

*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;
- Half-yearly Progress & Financial Reports were complete and accurate;
- The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

#### ***The Consultant's Team***

40. For this evaluation, the evaluation team will consist of a Consultant. Details about the specific roles and responsibilities of the Consultant are presented in Annex 1 of these TORs. The Consultant should have extensive evaluation experience, including of large, regional or global programmes and using a Theory of Change approach; and a broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making.

41. The Consultant will coordinate data collection and analysis, and the preparation of the main report for the evaluation, and ensure together that all evaluation criteria and questions are adequately covered.

42. By undersigning the service contract with UNEP/UNON, the consultant certify that he/she have 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, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

#### ***Evaluation Deliverables and Review Procedures***

43. The Consultant 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.

44. It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

- Strategic relevance of the project
- Preparation and readiness;
- Financial planning;
- M&E design;
- Complementarity with UNEP strategies and programmes;
- Sustainability considerations and measures planned to promote replication and up-scaling.

45. The inception report will present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

46. The inception report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the Project document and discussion with the project team. See annex 2 for template.

47. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. 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. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

48. Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a

synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information eg. video, photos, sound recordings. Together with the full report, the evaluator will be expected to produce a 2-page summary of key findings and lessons.

49. 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.

50. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

51. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. 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.

52. **Review of the draft evaluation report.** The evaluation team will submit a zero draft report to the UNEP EO 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 Project Manager, who will alert the EO in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the other project stakeholders, in particular; Implementing and Executing Agency representatives, key stakeholders (government and NGO representatives) for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. 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 evaluation team for consideration in preparing the final draft report, along with its own views.

53. The evaluation team 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.

54. **Submission of the final evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP Evaluation Office web-site [www.unep.org/eou](http://www.unep.org/eou).

55. 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 consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 3.

56. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.

57. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Project Manager. After reception of the Recommendations Implementation Plan, the Project Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six month until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendation. Tracking points will be every six months after completion of the implementation plan.

58. Annex 2. List of Interviewees

<b>GPA &amp; Coordination Unit</b>	
1. Christopher Cox	GNC Project Manager (from 2015), GPA lead on nutrients
2. Heidi Savelli	Project officer / GPA lead on marine litter (Component 2)
3. Anjan Datta	Former GNC project manager (to April 2014) and GPA lead on Components 1 & 3
4. Vincent Sweeney	GPA Coordinator
5. Birguy Laminzana	GPA lead on Wastewater
<b>Other UNEP Staff</b>	
6. Isabelle Vanderbeck	Task Manager, International Waters
7. Takehiro Nakamura	Chief, Marine and Coastal Ecosystems Branch
8. Niklas Hagelberg	Coordinator, Ecosystem Management Subprogramme
9. Rod Vorley	Fund Management Officer
<b>Lake Chilika Demonstration Project</b>	
10. Ajit Pattanik	Chief Executive, Lake Chilika Development Authority
11. Pradipta R. Muduli	Scientific Officer, CDA
12. Gurdeep Rastogi,	Senior Scientist, CDA Wetland Research and Training Center
13. TK Adhya	School of Biotechnology, KIIT University, Vice President, Indian Nitrogen Group
14. Jitendra Nayak,	NETCOAST (NGO network )
15. Saswata Mohapatra	NETCOAST (NGO network )
16. K. Jena	District Agricultural Officer, Department of Agriculture, Khorda District
Plus :	
Soil scientists, Department of Agriculture, Khorda District	
Fisheries Scientist, CDA	
<b>Global Partnership on Marine Nutrients – Steering Committee Members</b>	
17. Ramesh Ramachandran	Director, National Centre for Sustainable Coastal Management Ministry of Environment and Forests
18. Sasha Koo-Oshima	Senior International Water Advisor , U.S. Environmental Protection Agency
19. Terry L. Roberts	President, International Plant Nutrition Institute (IPNI)
20. N. Raghuram,	Dean, School of Biotechnology, GGS Indraprastha University Director, South Asian Nitrogen Centre, New Delhi
21. Patrick Heffer	Senior Director, Agriculture Service International Fertilizer Industry Association
22. Gregory Cosby	National Program Leader for Sustainable Development, National Institute of Food and Agriculture (NIFA), US Department of Agriculture and Chair, GPNM
23. Mark Sutton	Centre for Ecology & Hydrology, and Chair, International Nitrogen Initiative

<b>Global Partnership on Marine Litter – Steering Committee &amp; Pilot Initiatives</b>	
24. Nancy Wallace	Marine Debris Division Chief, NOAA Office of Response and Restoration
25. Tatjana Hema	MedPol Coordinator, Mediterranean Action Plan
26. Fernando Félix Grijalva	Coordinator of the Regional Action Plan, Permanent Commission for the South Pacific (CPPS)
27. Maria Westerbos	Plastic Soup Foundation
28. Sefanaia Nawadra	Coordinator, UNEP Pacific Office SPREP Campus, Apia, Samoa (by email)
29. Anthony Talouli	Pollution Adviser, SPREP (by email)

### Annex 3. Evaluation Programme

<b>Inception Phase</b>	
<b>2 Sept</b>	Development of inception report <ul style="list-style-type: none"> <li>– Evaluation design and workplan</li> <li>– Desk review of existing documents</li> <li>– Preliminary exchanges with project team</li> </ul>
<b>19 September</b>	<b>Submission of Inception Report</b>
30 Sept	Review of Inception Report by Evaluation Office (EO)
<b>Implementation Phase</b>	
22 Sept – January	Ongoing literature review, review of PIMS data, project agreements
30 Sept – 2 Oct	Interviews with GPA and other UNEP staff in Nairobi
5-7 Oct	Visit to Lake Chilika Demonstration project
Oct – 4 February	Interviews with Steering Committee Members & stakeholders in pilot initiatives
<b>Synthesis and Reporting Phase</b>	
January	Drafting of the evaluation report including Synthesis of findings, conclusions and recommendations
26 Jan	Note of Preliminary Findings and Recommendations Verbal presentation/ discussion with EO and project team
9 February	Submission of Zero Draft
22 March	Submission of Review draft incorporating updated financial information as well as feedback from the EO and project staff. The report was left open pending further clarification on financial information
May	Circulation of report by EO for review comments. No comments were received
31 May	Submission of final report

## **Annex 4. List of documents reviewed or consulted**

### **Project Definition**

- 53-P5 Project document submitted to UNEPs Programme Review Committee in June 2010
- 53-P5 PRC review of June 2010
- 53-P5 Final and approved project document signed December 2010
- 53-P5 Project Document supplement 1 cleared October 2012
- 53-P5 Project Document supplement 2 cleared November 2014
- GEF GNC PIF submitted December 2009 and cleared April 2010
- GEF GNC project document (CEO approved document) resubmitted June 2011
- GEF GNC inception report for revised implementation period (April 2012-March 2015)
- UNEP/GPA 2012. *Progress in the implementation of UNEP's marine litter activities 2007-2011 and the way forward from 2012 to 2016.* Note for the Intergovernmental Review Meeting on the implementation of the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities Third session Manila, 25-27 January 2012. UNEP/GPA/IGR.3/INF/6.
- GPNM Action Plan for 2012
- GEF GNC Project work plan for 2015

### **Legal Instruments**

- Small scale funding agreement with Global Environment and Technology Foundation (GETF), SCOPE, China Agricultural University, Lake Chilika Devt Authority (CDA), Energy Research Centre of the Netherlands, Plastic Soup Foundation, Ocean Recovery Alliance, WCPA, SPREP, CPPS,
- Project cooperation agreements with PEMSEA and HCWW - Egypt
- Letters of agreement with IMO & FAO
- CDA Report on the Lake Chilika Demonstration Project, including Workshop reports, Juen 2012-August 2014
- Final reports from Plastic Soup Foundation, WCPA, CPPS, SCOPE; and HCWW & GETF.

### **Project Reporting and Steering Committees**

- Global Partnership on Nutrient Management (GPNM) - A brief progress report 2011 - 2012, prepared for Washington meeting
- Report of GPNM Partners meeting hosted by the US Department Agriculture in Washington DC, USA 14 May 2013
- Global Partnership on Nutrient Management (GPNM) Task Team meeting on Nutrient Performance Indicators and Nutrient Use Efficiency. December 2014
- Update on the Global Partnership on Marine Litter for the Steering Committee/Focal Area Leads – 24 April 2014, Hague
- Report of Global Partnership on Marine Litter Steering Committee Summary – 28 August 2014
- 53-P5 Project report on UNEP PIMS (viewed October 2015) and PIMS 2.0 (viewed January 2016)
- Project Implementation Reviews (PIRs) for the GEF GNC for the period to June 2013 and June 2015 (pre final draft).

### **Selected Outreach Events**

- Workshop on the Development of Ecosystem Health Report Card for Laguna de Bay, Tagaytay City, Philippines 12–13 December 2013
- Report of Marine Litter Side Event at Rio +20. 18 June 2012
- Minutes of Consultation Meeting on the Global Partnership on Marine Litter April 2013, Berlin
- Report of Consultation meeting for a potential African Marine Litter Network as part of the Global Partnership on Marine Litter (Africa and bordering island countries). June 2013
- Outputs from the thematic sessions on marine litter and nutrients, Second Global Conference on Land – Oceans Connection (GLOC-2) 2-4 October, 2013, Montego Bay, Jamaica

- UNEP/MAP COP reports - COP 17: Paris (2012), COP 18: Istanbul (2013)
- Message from Berlin Conclusions of the chairpersons of the International Conference on Prevention and Management of Marine Litter in European Seas, held in Berlin, Germany, 10 – 12 April 2013
- Final Report on Training Activities on marine litter in coastal communities of the Southeast Pacific and establishment of network, 'Friends of the Sea' December 2013

### **Selected Technical Reports**

- GPNM & INI. 2012. *Our Nutrient World. The challenge to produce more food and energy with less pollution.* 115pp. UNEP & CEH:
- Sutton et al. 2013. 'The global nutrient challenge: From science to public engagement' *Environmental Development* Elsevier
- Building the Foundations for Sustainable Nutrient Management. Draft for Peer Review - 2014
- GEFT products including inventory of best practices and preliminary syntheses, and proposed toolbox architecture
- CDA Chilika Lake 2012 Ecosystem Health Report Card.
- CDA Chilika Lake 2014 Draft Ecosystem Health Report Card.
- UNEP (2014) Valuing Plastics: The Business Case for Measuring, Managing and Disclosing Plastic Use in the Consumer Goods Industry.
- IMO 2015 Review of marine litter in relation to the various waste streams under the London Convention and Protocol – summary of main conclusions of final report. July 2015 Presented to 10<sup>th</sup> Meeting of Contracting Parties to the London protocol, Oct 2015
- GPML Communications Strategy 2014
- GPML Revised Draft Framework Document/Operational Guidelines. February 2015

### **Outreach and Promotional Outputs**

- UNEP Emerging Issues: Microplastics
- GPNM and GPML Factsheets
- Policy briefs based on our nutrient world for i) Rio+20 and ii) Africa
- World Animal Protection: The Global Ghost Gear Initiative. Creating a sea change: towards ghost-gear-free seas (factsheet)

### **Websites**

- GPA pages on partnerships <http://www.unep.org/gpa/gpml/> & <http://unep.org/gpa/gpnm/>
- GPML / Marine Litter Network - [www.marinelitternetnetwork.org](http://www.marinelitternetnetwork.org)
- GPNM / Nutrient Challenge [www.nutrientchallenge.org](http://www.nutrientchallenge.org)
- Lake Chilika Development Authority [www.chilika.com](http://www.chilika.com)
- SPREP Documentary for SIDS Conference <https://www.youtube.com/watch?v=FibX2E6xydl>

### **UNEP and GPA Context**

- Manila Declaration on Furthering the Implementation of the Global Programme of Action for the Protection of the Marine Environment from Land-based Activities. UNEP/GPA/IGR.3/6, January 2012
- UNEP & NOAA. 2011. The Honolulu Strategy: A Global Framework for prevention and management of marine debris.
- UNEA 2015. List of documents adopted by the United Nations Environment Assembly of the UNEP at its first session (23 – 27 June 2014)
- UNEP Programme of Work for 2010-2011
- UNEP Programme of Work for 2012-2012
- UNEP Programme of Work for 2013-2013
- HSHW Programme Framework for 2010-2011

## Annex 5. Progress on Activities and Outputs

**Table 5-1. Progress on project outputs based on October 2012 project document supplement and indicators in PIMS**

<b>Output</b> (2012 Project Document Supplement)	<b>Reported Progress (PIMS)</b>	<b>Evaluation Comments</b>
<b>Component 1:</b>		
<b>Published report with the status of water quality and selected coastal habitats and compilation of existing fertilizer management practices.</b>		
<i>Original Output: Published report with the status of water quality and selected coastal habitats and compilation of existing fertilizer and pesticides management practices.</i>		
<b>PIMS Indicator 1</b> One global and 3 regional assessment reports on the presence of pesticides in coastal and marine waters, their impact on selected marine ecosystems and the existing management practices.	<ul style="list-style-type: none"> <li>Reporting in PIMS indicates GPA did not receive the mandate to work on pesticides related issues at IGR3 in January 2012.</li> </ul>	<ul style="list-style-type: none"> <li>No progress on pesticides assessments in the 2010-2011 biennium owing to lack of funding. The GPA mandate was subsequently revised to put the focus on fertilisers</li> </ul>
<b>PIMS Indicator 2</b> Number of countries that are adapting and applying knowledge on presence and extent of pesticides in coastal and marine waters, their impact on selected marine ecosystems and the existing management practices in their policies and programmes	<ul style="list-style-type: none"> <li>Reporting in PIMS indicates GPA did not receive the mandate to work on pesticide related issues at IGR3 in January 2012</li> </ul>	<ul style="list-style-type: none"> <li>As above - no progress on pesticides assessments in the 2010-2011 biennium owing to lack of funding. The GPA mandate was subsequently revised to put the focus on fertilisers)</li> </ul>
<b>PIMS Indicator 3</b> Number of countries that are adopting and applying knowledge on presence and extent of nutrients in coastal and marine waters, their impact on selected marine ecosystems and the existing management practices in their policies and programmes (2012-2013)	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in 2012 logframe which provides a target of 4 countries</li> <li>PIMS reports progress in four countries: India, Indonesia, Jamaica, Philippines</li> </ul>	<ul style="list-style-type: none"> <li>No specific details are given related to progress in four countries. For India and Philippines this is justified by the demonstration projects.</li> <li>There is no evidence of direct project support to work for national level work in Jamaica or Indonesia.</li> </ul>
<b>PIMS Indicator 4:</b> One global assessment report on the Nutrient Management Policies, Practices and their Impacts on Water Quality, Soil	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in 2012 logframe</li> </ul>	<ul style="list-style-type: none"> <li>PIMS reports on 2014 draft report, Foundations for Sustainable Nutrient Management that was developed for review by GPNM. There is no evidence that this rather preliminary draft was completed or published.</li> <li>'Our Nutrient World: The challenge to produce more food and energy with</li> </ul>

Health and Human Wellbeing (2012-2013)		<p>less pollution' was published in June 2013 with UNEP support. The document provides a detailed overview of the nutrient challenge, including fertiliser management practices, and is action and policy oriented. It includes only limited geographic data.</p> <ul style="list-style-type: none"> <li>Outside the scope of this project, GPA has been involved since 2012 in the development of a new GEF project for a comprehensive Nitrogen assessment "Targeted Research for improving understanding of the Global Nitrogen Cycle towards the establishment of an International Nitrogen Management System (INMS)".</li> </ul>
<b>Component 2:</b>		
<b>Opportunities identified to launch a Global Partnership on marine litter to promote adoption of economic instruments and Policy measures to deal with marine litter/debris (2012 Supplement)</b>		
<i>Original Output: Opportunities identified to promote adoption of economic instruments and policy measures to deal with marine litter/debris and hazardous substances and solid waste</i>		
<b>Indicator 1:</b> Study completed with key recommendations to address marine litter problems globally (2012-2013)	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in 2012 logframe</li> <li>No target</li> <li>Reported Delivery: 5</li> </ul>	<ul style="list-style-type: none"> <li>The report on 'Valuing Plastics: The Business Case for Measuring, Managing and Disclosing Plastic Use in the Consumer Goods Industry' was published in 2014 through project support to the Plastic Disclosure Project.</li> <li>GPA provided support to other publications with recommendations related to plastics in cosmetics and to fishing gear</li> </ul>
<b>Indicator 2:</b> Network/forum of policy advocates established at regional/global levels (2012-2013)	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in 2012 logframe</li> <li>No target</li> <li>Reported Delivery: 4</li> </ul>	<ul style="list-style-type: none"> <li>PIMS includes reporting on an Issues Paper presented at the International Conference on Prevention and Management of Marine Litter in European Seas of Regional Action Plans (RAPs) with the aim to encourage integrations of marine litter in the regional seas or Regional Sea Conventions (RSCs) of European waters. The "Message from Berlin" summarized the conclusions of this regional forum.</li> <li>A global network portal was launched through partner support based on financial savings from the marine debris conference. There were 305 active (signed up) members in January 2016.</li> <li>The Partnership has become increasingly established in 2014 and 2015, with an active board, Webex meetings involving members (since 2015). Preparation of a communications strategy and clearly stated 'specific objectives'.</li> <li>Two NGO projects (Beating the MicroBead, WSPA) have successfully engaged a wide range of civil society actors (general public, NGOs)</li> <li>Support was provided to examine the role of NGOs in ML control in China (no documentation seen)</li> </ul>
<b>Indicator 3:</b> Marine litter partnership established (2012-2013)	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in 2012 logframe</li> <li>No Target</li> </ul>	<ul style="list-style-type: none"> <li>The First Partnership Forum of the Global Partnership on Marine Litter was held during the Second Global Conference on Land-Ocean Connections (October 2013)</li> </ul>

	<ul style="list-style-type: none"> <li>• Reported Delivery: 4</li> </ul>	<ul style="list-style-type: none"> <li>• The Global Partnership is widely recognized, and is becoming increasingly established</li> <li>• Membership is 64 organizations comprising NGOs, research institutions, UN agencies and, governmental organizations (list provided in December 2015)</li> </ul>
<b>Indicator 4:</b> Global partnership on marine litter launched	<ul style="list-style-type: none"> <li>• Corresponds to output Indicator in 2012 logframe</li> <li>• PIMS Target: 1</li> <li>• Reported Delivery 6</li> </ul>	<ul style="list-style-type: none"> <li>• GPML was endorsed by 64 governments at the IGR-3 in January 2012</li> <li>• GPML was formally launched at Rio+20 in June 2012</li> </ul>
<b>Indicator 5:</b> Secured commitment from governments and others for the global partnership on marine litter and the strategy for reduction of marine litters (2012-2013)	<ul style="list-style-type: none"> <li>• Corresponds to output Indicator in 2012 logframe (Target 20)</li> <li>• Target : 20</li> <li>• Reported Delivery: 64+22+159</li> </ul>	<ul style="list-style-type: none"> <li>• The indicator is unclear in terms of what level of commitment is required from individual governments.</li> <li>• The numbers given in PIMS are based on number of governments (plus the European Commission) participating in the IGR-3 meeting, the Barcelona Convention COP and the UNEA</li> <li>• Commitments to Action from Governments include: <ul style="list-style-type: none"> <li>– 21 Parties to the Barcelona Convention via the 2012 - Adoption of the Strategic Framework for Marine Litter Decision (COP 17 IG.20/10) and 2013 Regional Plan on Marine Litter Management, in the framework of Article 15 of the Land-based Sources Protocol (COP 18 - Decision IG.21/7). The latter is now legally binding.</li> <li>– Resolution/Decision 9: Marine plastic debris and microplastics was adopted by 159 countries during the first UN Environment Assembly and encourages stakeholders to take action and to work through the GPML</li> </ul> </li> </ul>
<b>Indicator 6:</b> At least 5 project countries have initiated development of country-specific action plans and policies to deal with marine litter/debris with input from different actors.	<ul style="list-style-type: none"> <li>• New indicator on PIMS</li> <li>• Target: 5</li> <li>• Reported Delivery: 32</li> </ul>	<ul style="list-style-type: none"> <li>• PIMS reports a number of requests for support as well as progress in the Mediterranean (see also, Indicator 5)</li> <li>• Five local level action plans were developed in the CPPS countries - Ecuador, Chile, Colombia, Peru and Panama, of which four have been formally adopted</li> </ul>
<b>Indicator 7:</b> Framework strategy to address marine litter finalized and accepted by partners (2012-2013)	<ul style="list-style-type: none"> <li>• Corresponds to output Indicator in 2012 logframe</li> <li>• No Target</li> <li>• Reported Delivery 4</li> </ul>	<ul style="list-style-type: none"> <li>• The Honolulu Strategy was endorsed by and completed after the 2011 Fifth International Marine Debris Conference co-organised by UNEP and NOAA.</li> </ul>
<b>Component 3:</b>		
The Global Partnership on Nutrient Management (GPNM) is further developed as a platform to raise awareness on the links between fertilizer and pesticide use, and the varied impact of nutrient on human health, and environment. More specifically:		
a) Information base for the partnerships through a web-based information platform. b) Information from component A analyzed and guidance document on GPNM prepared c) Tool box to exchange knowledge and best practices prepared d) Partnerships for on the ground action, and implementation of demo project		

Items a-d are represented by milestones and reported in Table 6-1			
<b>PIMS Indicator 1.</b> Number of countries, agencies and institutions joined the GPNM and use the services of the network to develop nutrient management plan/programs and feed them into the national development plan.	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in original logframe</li> <li>Original target 4</li> <li>PIMS target 3</li> <li>Reported delivery 4</li> </ul>	<ul style="list-style-type: none"> <li>PIMS reporting is based on a Government of China commitment at a September 2010 meeting (when the project had not yet been approved). Follow up was conducted at the Sept 2011 meeting to organize the Asia Regional Platform and ongoing work of the Chinese Agricultural University was also reported on the occasion of the June 2013 <i>Global Conference on Nutrient Management</i> (organized in Beijing through the GNC project)</li> <li>Other reported progress is procedural in nature (policy briefs in India, Policy Toolbox)</li> </ul>	
<b>PIMS Indicator 2.</b> Countries agreed to undertake on the ground intervention to address nutrient enrichment of coastal waters (2012-2013)	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in 2012 logframe</li> <li>Target: 4</li> <li>Reported delivery 3 - India, Indonesia and the Philippines 'are still committed'</li> </ul>	<ul style="list-style-type: none"> <li>Action on the ground under this project in India and Philippines through the demonstration projects</li> <li>In India the health card led to modification of the Lake Chilika Management Plan – this addresses further monitoring but does include measures to address further nutrient input. Good links were made with relevant stakeholders that could lead in the longer term to appropriate measures for nutrient reduction.</li> <li>The first stakeholder workshop for Laguna de Bay healthcard was organized in December 2013</li> <li>Indonesia undertook an earlier UNEP supported study on the Cisadane Rover</li> </ul>	
<b>Indicator 3.</b> Number of countries, agencies and institutions joined in the GPNM and the use of services of the network to develop nutrient management plan/programs and feed them into the national development plan (2012-2013)	<ul style="list-style-type: none"> <li>Corresponds to output Indicator in 2012 logframe</li> <li>Target 4.</li> <li>Reported Delivery: 48</li> </ul>	<ul style="list-style-type: none"> <li>The Partnership website lists 44 members as of January 2016, including government agencies, UN agencies, NGOs, technical and research bodies, industry associations and programmes. <a href="http://www.nutrientchallenge.org/partner-directory">http://www.nutrientchallenge.org/partner-directory</a></li> <li>Eight are classified as government bodies including two regional bodies (PEMSEA and SACEP) and Ministries, Departments or agencies in Italy, Netherlands, Indonesia, Thailand and the USA.</li> <li>It is not clear how many of these bodies are using the services of the network</li> </ul>	

**Table 5-2. Progress on project milestones including milestones from project logframe and modifications introduced in the 2012 and 2014 project document supplements**

Milestones	Reported Status on PIMS	Summary of Progress Highlights	Evaluation Comments
<b>Component 1: Assessment</b>			
<b>Original Milestones</b>			
Milestone 1- ToRs developed - Dec 2010	Attained late 536	PIMS states the TOR were reviewed by an interdivisional task team	The originally planned study on pesticides did not proceed.
Milestone 2- Study design finalized – Jan 2011	Not in PIMS		As above
Milestone 3- Resource person/institutions identified – Feb 2011	Not in PIMS		As above
Milestone 4- Information collected and analysed on national regulatory frameworks on pesticides and fertilizers use ( <i>Original</i> ) Information collected and analysed on national regulatory frameworks on fertilizers use – June 2011 ( <i>As revised in 2012 Supplement</i> )	Attained late 536	PIMS reports that collected information on national policies and regulations pertaining to fertilizer used to prepare the global overview on nutrient management.	The scope of this milestone was reduced in the 2012 project document revision to cover only nutrients. See Milestone10
Milestone 5- Draft reports, science paper and article produced – Aug 2011	Attained 536		Attained late - See Milestone 10
Milestone 6- Reports approved by partners – Aug 2011	Not in PIMS		See Milestone10
Milestone 7- Reports published and disseminated widely – Oct 2011	Not in PIMS	-	See milestone 11
Milestone 8- Online knowledge portal developed – Oct 2011	Not in PIMS	The website, nutrient challenge.org, was established as the website for the GPNM GNC project	The earliest content on the site dates from 2012.
<b>Additional 2012 Milestones</b>			
Milestone 9- A summary/key messages of the Global Overview report ready for presentation in Rio through holding of a special event with GPNM partners - Jun 2012	Attained 532	A summary document, <i>Our Nutrient World – Key messages for Rio – 2012</i> , was presented at a side event in Rio, entitled, ' <i>Nutrients: For Food or Pollution? The Choice is Ours!</i> '	The side event included discussions about the desirable focus of work on nutrients and whether the focus on coastal systems was appropriate.
Milestone 10- Global overview of Nutrient Management Policies, practices and their impacts	Attained	UNEP Publication, 'Our Nutrient World', 2013 (ONW)	Our Nutrient World is a landmark publication for the partnership

on water quality, soil health and human wellbeing released - Dec 2012	532	Paper entitled <i>The global nutrient challenge: From science to public engagement in Elsevier journal 'Environmental Development'</i> , 2013	
Milestone 11- Study results disseminated through websites and special events in the margin of global and regional meetings to mobilize political opinions for concerted actions – June 2013	Not in PIMS	ONW results were widely disseminated including through the International Nitrogen Imitative (INI) network and received significant media coverage	
Milestone 12- Policy brief outlining key priorities for future actions developed- Jun 2013	Attained late 532	Africa Brief prepared for N2013 Africa Conference organised in Uganda in 2013	
Milestone 12- Facilitated the establishment of national level policy forum in 4 countries to promote policy change - Dec 2013	Attained 532	Concerted follow up efforts were made in China and India.	There is no evidence of national policy forums. Despite engaging with a broad cross section of relevant and high level stakeholders in India, the project has not yet managed to influence national policy.
<b>Additional 2014 Milestones</b>			
Milestone 14- Securing approval of the Laguna Lake Development Authority, Government of the Philippines for development of the Ecosystem health report card and establishment of the inter-sectorial committee to carry out this task – June 2014	Attained 525	The multi-stakeholder workshop ' <i>Development of Ecosystem Health Report Card For Laguna De Bay</i> ' was organised in December 2013	A revised work plan for completion of the project was produced in August 2014. The pilot project was undertaken in 2015 and a draft was presented to the GPNM Asia Platform meeting in November 2015.
Milestone 15- Chilika Lake management plan revised in the light of the recommendation of the Chilika Ecosystem Health Report Card – Sep 2014	Attained late 525	The project influenced the 2013 revision of the Lake Chilika Management Plan which includes plans for an annual health card. The plan also includes other references to nutrients, including need to determine long term nutrient balance; assessment of nutrient loading from agricultural lands and promotion of water and nutrients efficient agriculture.	It is not clear why this milestone was added in 2014; CDA reported the management plan in their final report dated form 2013.
<b>Component 2: / Global Partnership on Marine Litter</b>			
<b>Original Milestones</b>			
Milestone 1- International steering committee constituted and convened – Apr 2010	Not in PIMS	An international steering committee for the Fifth International Marine Debris Conference was created with 20 international representatives and convened remotely from early 2010. UNEP and NOAA formed a core	UNEP was part of the Steering Committee for and co-convenor of the Marine Debris Conference – see Milestone 5

		committee responsible for day to day organization.	
Milestone 2- Detailed plan with partners and resources finalized – Jun 2010	Attained 536	PIMS reporting focuses on the successful organization of the Fifth International Marine Debris Conference from 20 to 25 March co-organised by NOAA & UNEP, 2011, in Honolulu, Hawaii. 440 participants representing some 38 countries	The result does not correspond to the original intention, to develop a campaign plan. The Honolulu strategy is a core document for the GPML
Milestone 3- Campaign program designed – Aug 2010	Not attained 536	PIMS reports this was not attained owing to lack of funding. However, it was noted that the Honolulu Strategy served as a rallying point for stakeholders.	
Milestone 4- First meeting of partners for advocacy held – Aug 2010	Not in PIMS	-	
Milestone 5- Advocacy program designed – May 2011	Attained 536	(This is reported as Milestone 1 above)	The Honolulu strategy is a core document for the GPML
Milestone 6- Campaign on ML launched – July 2011	Not in PIMS		The component was reoriented to focus on the GPML rather than a campaign A factsheet on Microplastics as an emerging issue was produced in around 2013 (undated)
Milestone 7- Network/forum of policy advocates established at national/global levels – July 2011	Not in PIMS		
Milestone 8- Synthesis report on pesticides and solid waste management – July 2011 <sup>42</sup>	Not in PIMS	None	This milestone was dropped in the 2012 supplement. Note comments under component 1: UNEP was not given a mandate to work on pesticides.
Milestone 9- At least 5 countries have started self-reviewed leading to identification of areas for inclusion in action plan plans on marine litter/debris – Sep 2011 <sup>43</sup>	Attained 536	Reported delivery for 2011 is not directly attributable to project activities (fishing gear buy-back scheme in Korea, EU consultation on use of plastic bags)	Delivery date was revised - See Milestone 13 See Also Indicator 6
<b>Additional 2012 Milestones</b>			
Milestone 10- Final version of Strategy for the	Attained	The Honolulu Strategy was presented to IGR	In addition the IGR-3 meeting received an

<sup>42</sup> This milestone was dropped in the 2012 supplement

<sup>43</sup> This milestone was extended to 2013

prevention and management of marine debris – March 2012	532	3 in January 2012 and recognised as relevant , with the meeting mandating UNEP to pursue the partnership approach	Information note on the work undertaken in the context of the GPA and proposed way forward
Milestone 11- Meetings held with key stakeholders to establish global partnership on marine litter – June 2012	Not in PIMS	63 Government representatives Governments and the European Commission recommended the establishment of a global partnership on marine litter at the 3 <sup>rd</sup> IGR meeting  Other consultation include: the first (dedicated) consultation meeting on the GPML in Berlin in April 2013 and the First Partnership Forum, held at the <i>Second Global Conference on Land-Ocean Connections</i> in October 2013.	The Berlin meeting reviewed the original TOR and framework document for the Partnership (not seen). A 'Revised Draft Framework Document/Operational Guidelines' was prepared in 2014 and circulated for review in February 2015.
Milestone 12- Global online-platform to facilitate information exchange launched – Oct 2013	Not in PIMS	The global online platform was established for the partnership using funds saved from the organization of the Honolulu Conference. The partnership is also featured on the GPA website	Although not contracted through UNEP, UNEP was involved in the development of terms of reference leading to the establishment of the Marine Litter Network, an interactive website, in 2013
Milestone 13- Global network off-line services established – Dec 2012	Attained 532	The project reported disseminating information to over 500 ML stakeholders. Various activities initiated to promote regional and national networking which will further contribute to the promotion of the global partnership on marine litter.  A Consultation meeting for a potential African Marine Litter Network was organised in June 2013	Work in this area continues to gain momentum with development of a communications strategy and webinars instigated in 2015.  The project manager indicated that such offline services are more effective when undertaken at a regional level in order to facilities communications. Preliminary progress on discussions regarding regional nodes was reported in April 2014 and work in this area is progressing under the follow on project.
Milestone 14- Review study identifying e.g. policy options to address growing problems of marine litter completed and published-June 2013	Attained late 532	PIMS notes the delivery date was changed but a short issues document was produced on time	See also indicator 1 - The report on ' <i>Valuing Plastics: The Business Case for Measuring, Managing and Disclosing Plastic Use in the Consumer Goods Industry</i> ' was published in 2014 through project support to the Plastic Disclosure Project.
Milestone 15- At least 5 countries have started self-reviews leading to identification of areas for inclusion in action plan plans on marine litter/debris – Sep 2013	PIMS only shows for 2010/11		See Outcome Indicator 6 which reflects delivery in later period, notably in the CPPS Countries

Milestone 16- Network/forum stakeholders established at regional/global levels – Oct 2013	Not in PIMS		See milestones 12 & 13 and Outcome indicators
Milestone 17. Global meeting held to secure commitment from governments and other stakeholders and establish global partnership – Dec 2013	Attained 532	The Second Global Conference on Land-Ocean Connections (GLOC) in October 2013 in Jamaica served as a partnership forum for the three global multi-stakeholder partnerships of the GPA	Resolution/Decision 9: Marine plastic debris and microplastics was adopted by 159 countries during the first UN Environment Assembly - it welcomed the establishment of the Global Partnership on Marine Litter and called for stakeholders to join/collaborate with it.
<b>Additional 2014 Milestones</b>			
Milestone 18- Holding one steering committee meeting of the GPML – June 2014	Attained 525	A meeting of focal area leads was organised in the Hague in April 2014 and a brief progress report was presented. A further meeting was organised in August 2014.	<i>[Alignment of this to PoW output 525 is misleading as there is a dedicated ML milestone under a the Ecosystem Management Subprogramme]</i>
Milestone 19- Demonstration project implemented in one SIDS country (i.e Samoa) – Sept 2014	Attained 525	A demonstration project "Pacific Islands Waste Management and Marine Debris Minimisation Best Practice - Samoa Demonstration Project" was showcased at the Third International Conference on Small Island Developing States (SIDS)(Sept 14)	The April 2014 update indicates that other national level activities were being considered but it is not clear that these went ahead and no related agreements were made available for this evaluation <i>[Alignment of this to PoW output 525 is misleading as there is a dedicated ML milestone under a the Ecosystem Management Subprogramme]</i>
<b>Component 3: Support to Global partnership on nutrient management (GPNM)</b>			
Milestone 1- GPNM SC established – June 2010	Attained	The GPNM was launched in May during the 17th session of the UN Commission of Sustainable Development in New York. UNEP was mandated to act as secretariat. GPNM was registered as a DSC partnership and took part in subsequent CSD meetings. The Committee was initially chaired by the Government of The Netherlands and is currently chaired by the Government of the US (US Department of Agriculture)	(This result predates the project) The number of participants in the SC has declined as the work of the partnership became increasingly focussed on fertilisers. The SC has successfully engaged industry bodies.
Milestone 2- Website designed, launched and populated – Dec 2010	Not in PIMS	The GNC project established a joint website for the GPNM and the project, nutrient challenge.org. The partnership is also featured on the GPA	The earliest content related to project activities on the website dates from 2012. See also Milestone 8.

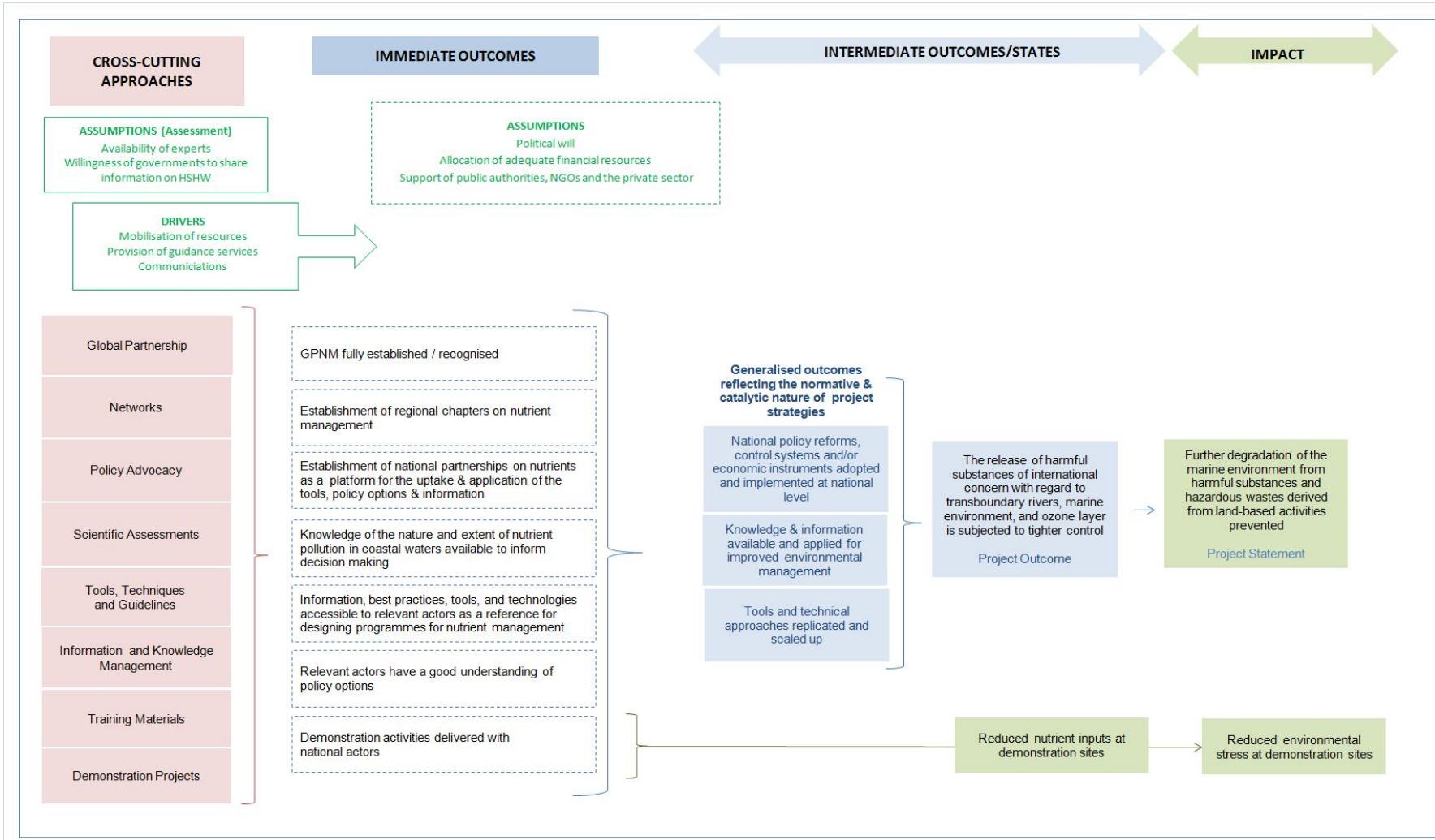
		website	
Milestone 3- Guidance document 'Foundations for sustainable nutrient management' finalized – Dec 2010	Attained	The 33 page booklet, "Building the Foundations for Sustainable Nutrient Management" was published in 2010 as a UNEP Publication with writing coordinated by SCOPE - the Scientific Committee on Problems of the Environment <a href="http://www.unep.org/pdf/Building_the_foundations-2.pdf">http://www.unep.org/pdf/Building_the_foundations-2.pdf</a> The report was launched during the 5th International Nitrogen Conference in Delhi, India 6 December 2010	This report was contracted with the support of the Government of Norway was launched prior to the 53-P5 project but represents a valuable foundation for this project.
Milestone 4- Extension and training program developed – Jun 2011	Not in PIMS		See milestone 13
Milestone 5- Training program delivered in 3 countries – Sept 2011	Not in PIMS		See milestone 14
Milestone 6- Demonstration project sites identified - Feb 2011	Attained	PIMS reports secured commitment from the Government of the Philippines, Chilika Development Authority India and the Holding Company for Water and Wastewater, Government of Egypt to initiate pilot projects.	Demonstration sites in India and The Philippines were formally identified in the 2011 GEF GNC project document, including commitments to cofinance. The Chilika work was contracted in May 2012.
Milestone 7- Demo project implementation initiated in 2-3 countries – Jul 2011	Attained	PIMS reports finalisation of Project Cooperation Agreement with the HCWW to initiate a pilot projects for sustainable nutrient management through re-use of wastewater for production of agro-energy crops.	The work was substantially delayed owing to the political change process in Egypt. The PCA was finalized in 2014 and the project completed by mid-2015. <i>This is now considered a wastewater rather than nutrient project but does demonstrate an approach to nutrient reduction through water treatment</i>
<b>Additional 2012 Milestones</b>			
Milestone 8- Redesigned/revamped website of the GPNM -June 2012	Attained	See milestone 2 - nutrient challenge.org.	The public part of the site includes gaps and broken links and many sections are out of date. The website is being revised (January 2016) for relaunch in 2016 based on the recommendation of the GNC review.
Milestone 9- Nutrient best management practices under different socio-political setting identified, compiled and reviewed - August 2012	Not in PIMS	This work is covered by an agreement with the Global Environment and Technology Foundation signed in June 2011. A larger	334 practices from 60 countries were compiled in an excel spreadsheet. 20 case studies were reportedly prepared (GNC reporting indicates

		follow on contract was issued through the GNC project	that five case studies in depth case studies were prepared).
Milestone 10- A draft 'policy toolbox' of policy options for managing nutrient impact development - Dec 2012	<i>Not in PIMS</i>	This work is covered by an agreement with the Global Environment and Technology Foundation signed in June 2011. A larger follow on contract was issued through the GNC project.	The contractor reported that a synthesis of best practices was complete and a toolkit was being developed (Self-assessment table for GNC review). The December 2013 synthesis document refers to the practice database but indicates that information was patchy. The May 2013 Secretariat update includes a list of proposed policy briefs and case studies.
Milestone 11- Demonstration projects initiated in 2 countries – Dec 2012	Attained	PIMS reports i) India: Chilika Lake Health Report Card implemented in cooperation with Chilika Development Authority, Government of Odisha, India. ii) Demonstration project in Manila Bay. The project is implemented in partnership with the Department of Environment and Natural Resources, Government of the Philippines and PEMSEA Resource Facility.	See also Milestone 7; this milestone sets a revised timeframe India – The health card project in Lake Chilika was successfully implemented between June 2012 and August 2014 A multi-stakeholder workshop for a similar project in Laguna de Bay in Philippines was organised in December 2013. The revised work plan was developed in mid-2014 for completion of the scorecard by December 2014.
Milestone 12 - GPNM global meeting held – March 2013	Attained late	GPNM Partners meeting hosted by the US Department Agriculture in Washington DC, USA 14 May 2013. The meeting was attended by 44 members representing 29 institutions/agencies from various regions of the world  A further partnership forum was held at the GLOC Meeting in October 2013.	The meeting included feedback for two regional partnerships for the Caribbean (formed earlier that month) and for Asia (formed in 2011) and discussed a workplan for 2013-2016 based around the work of four Task Teams. A new Chair (USA) and 12 steering committee members were appointed.  A further partnership forum was held at the GLOC Meeting in October 2013.
Milestone 13 - Draft training module and associated curriculum related to the 'policy toolbox' developed – June 2013	<i>Not in PIMS</i>	This work is covered by an agreement with the Global Environment and Technology Foundation signed in June 2011. A larger follow on contract was issued through the GNC project.	<i>The contractor reporting posting an updated module on an independent website but this link is no longer available.</i> (Self-assessment table for GNC review)
Milestone 14 -Up to 4 training workshops with project managers and policy makers held to test the 'policy toolbox' and training curriculum and revise	<i>Not in PIMS</i>		A stakeholder workshop on the toolkit was organised in Lake Chilika in mid-2015 (through the GNC project)

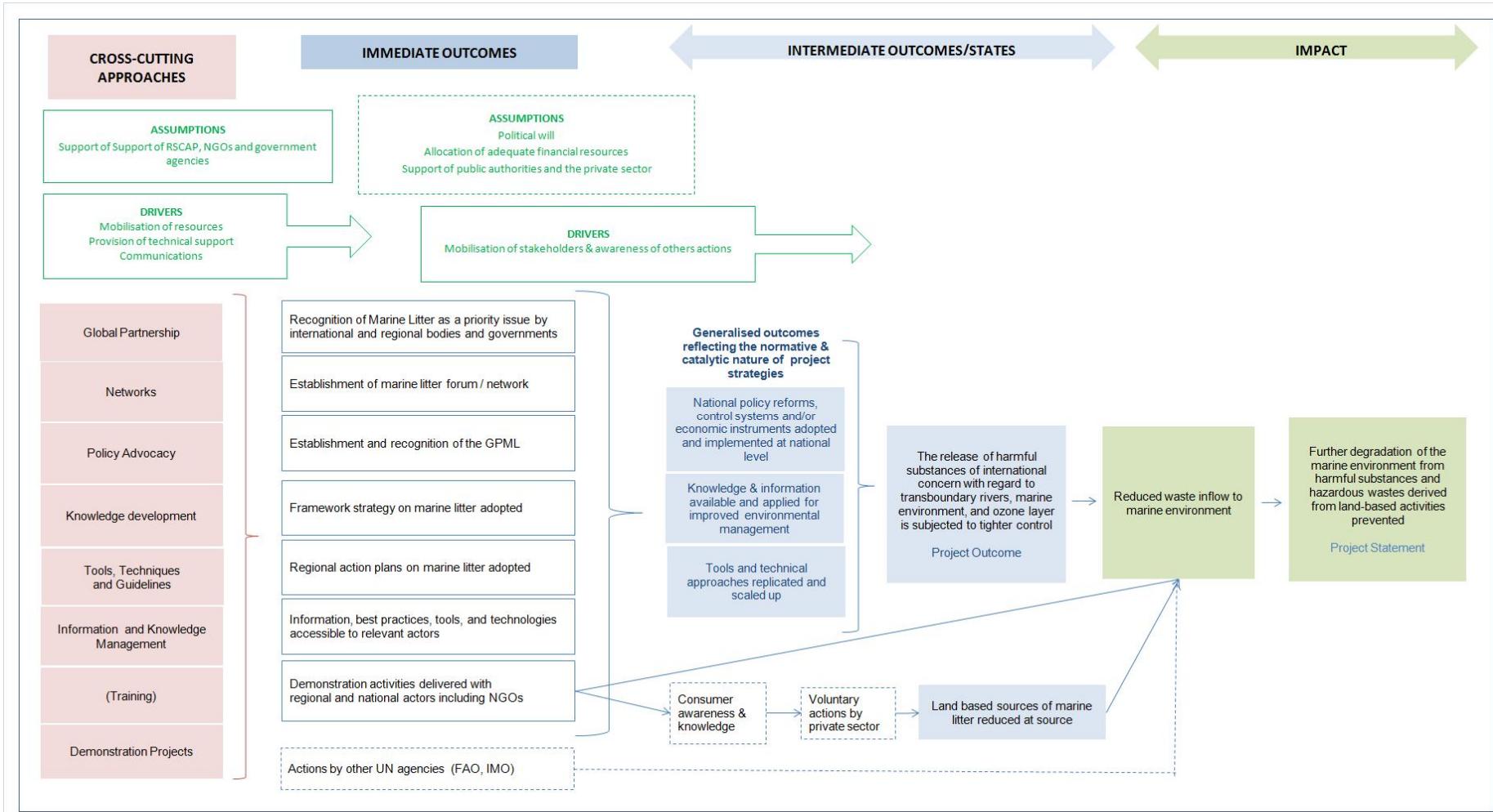
as necessary –Dec 2013			
Milestone 15- Guidance document 'Foundations for sustainable nutrient management' revised and published – Dec 2013	Attained	A preliminary draft of the follow on document to the Foundations 2010 report, 'Foundations for sustainable nutrient management' was presented to the PSC in 2014.	There is no evidence this report was completed or published
<b>Additional 2014 Milestones</b>			
Milestone 16- Finalization of the mid-term review of the UNEP/GEF Global Nutrient Cycle Project – June 2014	Attained late	The mid-term review was completed in November 2014	The review is an internal document for the GNC project. Findings were presented by PowerPoint to a GNC Steering Committee meeting in December 2014.  The process of the review was not well understood by the GPNM members and their proposed alternative – a self assessment – may be a useful exercise for the Partnership.
Milestone 17- Hosting of GPNM Partners and task team meetings to finalize the nutrient use efficiency/nutrient performance indicators – Sep 2014	Attained late	The planned meeting for 2014 was delayed Worked by the Nutrient use efficiency Task Team continues.	The model of the Task Teams instigated in 2013 has engaged steering committee members and other experts and delivered substantial results.

## Annex 6. Review of Outcomes to Impacts

Figure 6-1. Theory of Change for Nutrients Components



**Figure 6-2. Theory of Change for Litter Component**



**Figure 6-3. Results and ratings of Review of Outcome to Impact (ROtI) – Nutrients**

Results rating of project entitled: Managing Harmful Substance and Hazardous Waste through the Global Programme of Action in support of Regional Seas Agreements - COMPONENT 1 & 3 - Nutrients						
<b>Objective</b> The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer is subjected to tighter control						
Outputs / Strategies	Outcomes	Rating (D - A)	Intermediary	Rating (D - A)	Impact	Rating (+) Overall
Global Partnership	GPNM fully established / recognised	B	National policy reforms, control systems and/or economic instruments adopted and implemented at national level	C	Reduced waste inflow to marine environment	
Networks	Establishment of regional chapters on nutrient management					
Policy Advocacy	Establishment of national partnerships on nutrients as a platform for the uptake & application of the tools, policy options & information	B	Knowledge & information available and applied for improved environmental management			
Scientific Assessments	Knowledge of the nature and extent of nutrient pollution in coastal waters available to inform decision making				?	
Tools, Techniques and Guidelines	Information, best practices, tools, and technologies accessible to relevant actors as a reference for designing programmes for nutrient management		Tools and technical approaches replicated and scaled up		Further degradation of the marine environment from harmful substances and hazardous wastes derived from land-based activities prevented	
Information and Knowledge Management	Relevant actors have a good understanding of policy options					
Training	Demonstration activities delivered national actors (Chilika, Laguna Lake)		The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer is subjected to tighter control			
Demonstration projects						
	<b>Rating justification:</b> The project's intended outcomes have been partly delivered though not to the level anticipated in the project document. There are some concerns about onward momentum outside the scope of further project activities		<b>Rating justification:</b> The rating reflects that measures designed to move toward intermediate states have started but there is no immediate evidence of results		<b>Rating justification:</b> The overall DC+ rating corresponds to 'moderately likely'. Further discussion is provided in the evalution text.	
					The '+' rating related to impact reflects stress reduction results from demonstration activities .	

The rating partly reflect that some overlapping activities with the GNC project, that fall into the 53-P5 results framework, have not been fully delivered

**Figure 6-4. Results and ratings of Review of Outcome to Impact (ROtI) – Litter**

Results rating of project entitled: Managing Harmful Substance and Hazardous Waste through the Global Programme of Action in support of Regional Seas Agreements - COMPONENT 2 - LITTER							
Objective		The release of harmful substances of international concern with regard to transboundary rivers, marine environment, and ozone layer is subjected to tighter control					
Outputs / Strategies	Outcomes	Rating (D - A)	Intermediary	Rating (D - A)	Impact	Rating (+)	Overall
Global Partnership	Recognition of Marine Litter as a priority issue by international and regional bodies and governments	A	National policy reforms, control systems and/or economic instruments adopted and implemented at national level	B	Reduced waste inflow to marine environment ?	+	AB+ / Highly Likely
Networks	Establishment of marine litter forum / network		Knowledge & information available and applied for improved environmental management		Further degradation of the marine environment from harmful substances and hazardous wastes derived from land-based activities prevented		
Policy Advocacy	Establishment and recognition of the GPMIL						
Knowledge development	Framework strategy on marine litter adopted						
Tools, Techniques and Guidelines	Regional action plans on marine litter adopted						
Information and Knowledge Management	Information, best practices, tools, and technologies accessible to relevant actors						
Training Materials	Demonstration activities delivered with regional and national actors including NGOs						
Demonstration projects	Actions by other UN agencies (FAO, IMO)						
	<b>Rating justification:</b> The project's intended outcomes have been largely delivered. There are existing and project supported processes that will allow for continuation of a wide range of pilot / demonstration initiatives and the overall partnership		<b>Rating justification:</b> The rating reflects that measures designed to move toward intermediate states have started and are starting to produce results.		<b>Rating justification:</b> The overall DC+ rating corresponds to 'moderately likely'. Further discussion is provided in the evaluation text.		
					The '+' rating related to impact reflects stress reduction results from demonstration activities .		

**Ratings:**

*Rating scale for outcomes and progress towards 'intermediate states'*

Outcome Rating	Rating on progress toward Intermediate States
D: The project's intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
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	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

*Six point scale for translation of ratings for 'achievement of outcomes' and 'progress towards intermediate states to ratings for the 'Overall likelihood of impact achievement'.*

Highly Likely	Likely	Moderately Likely	Moderately Unlikely	Unlikely	Highly Unlikely
AA AB BA CA BB+ CB+ DA+ DB+	BB CB DA DB AC+ BC+	AC BC CC+ DC+	CC DC AD+ BD+	AD BD CD+ DD+	CD DD

## Annex 7. Ratings on Financial planning and management

The following criteria are based on the template for non GEF projects in the Evaluation TOR. The narrative text and rating in section F5 reflects the strategic issue of difficulties in programming in the context of unsecured and incremental funding.

Financial management components	Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations	S	Funding agreements were drawn up and extended in an appropriate manner. The interventions were strongly targeted based on the project documents and other relevant guidance so there were not any competitive tendering or other major procurement activities.
Contact/communication between the PM & Division Fund Managers	S	The Fund Manager was in regular contact with project staff. The FMO provided support on the 53-P5 report. The FMO also provided support for the GEF GNC project from the perspective of IA and, sometimes, the EA.
PM knowledge of the project financials	MU	<p>The largest proportion of expenditure was accounted for by agreements and sub-allotments that were tracked by managers. Information on direct expenditure on approved travel by staff and meeting participants was not always timely. Project staff did not have clear information regarding the allocation of earmarked funding channeled through the GPA trust fund. Staff time was covered outside the context of the project.</p> <p>The information on secured funding on project document supplements is incomplete and indicates a limited understanding of income. The activity budget on the second PDS was weak i) it was not adjusted to reflect actual expenditure or commitments in 2012 and 2013 and ii) it did not add up. Information on income in the PDSs was incomplete.</p>
PM responsiveness to financial requests	S	There were some issues with delayed funding in 2014 but this did not affect project activities as contractors were in a position to advance funds where required,
PM responsiveness to addressing and resolving financial issues	S	There is no evidence of any financial issues experienced by subcontractors apart from the shortfall in project funding which was necessarily addressed
Were the following documents provided to the evaluator:		
A. Crystal Report	N	This was not provided
B. All relevant project Legal agreements (SSFA, PCA, ICA) if requested	Y	A substantial proportion of agreements were provided, but not all requested. There were some delays owing to staff absences and in some cases 53-P5 agreements were in GNC project folders.
C. Associated Financial reports for legal agreements (where applicable)	N	Financial reports were available for just a few of the signed agreements. The project officer for litter provided feedback on under-expenditure on some agreements which indicates financial reports were prepared but not all were made available for the evaluation. Some activities were not completed in the period covered by the evaluation
D. Copies of any completed audits	NA	Not applicable

Availability of project legal agreements and financial reports	MU	
Timeliness of project financial reports and audits	MS	<p>There do not appear to be any regular financial reports: this was not required by project donors. The financial data on PIMS, the financial data in the PDSs and data on sources of income and expenditure based on budget lines in signed agreements are incompatible.</p> <p>Managers did not always have timely information on other expenditures such as travel and meeting costs.</p>
Quality of project financial reports and audits	MS	<p>It was not possible reconcile the information available on PIMS (imported from IMIS) with information related to income included in the project document supplements. This in turn did not match information on project income and expenditure (evidenced by agreements) provided by the project managers.</p> <p>The reporting on expenditure provided by the Fund Management officer and included in this evaluation as Annex 9 Table 9-1 is compatible with documented expenditure based on financial agreements. Operational expenditure under the GPA Trust Fund (GPL) is pooled and it has only been possible to identify direct expenditure in support of the 53-P5 project where this is associated with a third party funding agreement. This means it has not been possible to resolve the apparent mismatch between the income (and equal expenditure) under the GPA Trust Fund (GPL) and other information related to allocations from the Governments of Italy and the Netherlands. (See Paragraph 201) and related footnote</p> <p>Financial reporting by the subcontractor was reviewed as part of the Chilika project visit and was satisfactory. A small proportion of the funding was accounted for as a lump sum that could not be readily broken down into inputs such as staff time (covered by other budget lines).</p>
PM knowledge of partner financial expenditure	S	Managers tracked funding commitments to partners through agreements and sub-allotments and were aware of under-expenditure
<b>Overall rating</b>	<b>MS</b>	

## **Annex 8. Project Expenditure and Co-finance**

**Table 8.1 Statement of Expenditure by Component**

<b>Source</b>	<b>Income</b>	<b>Direct Expenditure</b>	<b>PSC</b>	<b>Total Expenditure</b>	<b>Unspent balance</b>
Sweden (Project SEL 2E61)	160,304.00	148,429.63	11,874.37	160,304.00	0.00
Sweden (Project SEL 2L12)	27,000.00	25,000.00	2,000.00	27,000.00	0.00
Norway (Project NFL 2E62)	203,355.36	188,292.00	15,063.36	203,355.36	0.00
Norway (Project NFL 2H52)	964,453.00	861,012.37	68,880.99	929,893.36	34,559.64
GPA Trust Fund (GPL)	359,340.00	318,000.00	41,340.00	359,340.00	0.00
UNEP contribution - Environment fund	8,600.00	8,600.00	0.00	8,600.00	0.00
				0.00	0.00
				0.00	0.00
<b>Totals</b>	<b>1,723,052.36</b>	<b>1,549,334.00</b>	<b>139,158.72</b>	<b>1,688,492.72</b>	<b>34,559.64</b>

PSC = Programme Support Costs, calculated as a percentage

(Source FMO – 22 February 2016)

**Table 8-2- Reported Cofinance**

<b>Source</b>	<b>Amount (USD)</b>
SCOPE*	61,500
Lake Chilika Development Authority (CDA)	66,000
Energy Research Centre of the Netherlands	27,500
<b>TOTAL</b>	<b>155,000</b>

(Source: Subcontractor Financial Reports)

\* SCOPE (the Scientific Committee on Problems of the Environment) served as a conduit for activities undertaken by INI amongst others

## **Annex 9. The Evaluator**

**SARAH HUMPHREY, PhD**

### **Profile**

Over 20 years working on environmental research and policy, project and programme development and institutional strengthening with a wide range of non-governmental, intergovernmental and research organisations in Europe and Africa. Technical background in environmental management, policy and governance, sustainable development, conservation, and project and programme evaluation

### **Education**

**Open University Business School: MBA**

**Department of Marine Sciences and Coastal Management, University of Newcastle**

**PhD: Analysis of Approaches for Evaluating the Success of Coastal Management in Europe**

**King's College, University of London: BSc. (Hons Class I): Human Environmental Science**

### **Employment**

**From 2008 Consultant in Environment, Sustainable Development and Conservation** for WWF, IUCN, Oxfam, UNEP, UNDP, European Commission, WIOMSA, and others

**2000 - 2007 WWF International, Gland, Switzerland**

Programme Officer, Africa and Madagascar Programme

**1999 – 2000 European Commission, Brussels, Belgium**

Stagiaire, Environment Directorate: Nature, Coastal Zones and Tourism

**1997 - 1999 University of Newcastle, UK**

Research Associate, Department of Marine Sciences and Coastal Management

**1996 - 1997 Western Indian Ocean Marine Science Association (WIOMSA), Zanzibar, Tanzania**  
Development Officer

**1990 - 1995 IUCN - The World Conservation Union, Switzerland & Kenya**

Research Assistant then Programme Officer, Marine and Coastal Programme