FINAL DRAFT

Government of Samoa: Preparation of a National Implementation Plan for the Stockholm Convention

Mid-Term Project Review

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I. EXECUTIVE SUMMARY

This report provides a mid-term review of the project: Samoa's Enabling Activity - Initial Assistance to Samoa to meet its Obligations under the Stockholm Convention on POPs (Persistent Organic Pollutants). The project is funded by the Global Environment Facility (GEF), and the United Nations Development Programme (UNDP) is the GEF Implementing Agency. The Ministry of Natural Resources and Environment is the lead government agency for the project (Executing Agency).

The Project Document was signed by the Government of Samoa on xxx 2001 and the work was scheduled to start on 1 January 2002. However funds were not received until 6 March of that year. The project was planned to run over 2 years, with a nominated completion date of 31 December 2003. The Government of Samoa has requested an extension to this date, and the purpose of this evaluation is to assess the performance of the project since implementation. The assessment includes both the evaluation of the progress measured against the planned outputs set forth in the Project Document, and an assessment of features related to the impact of the project.

The evaluation was based around the following methodology:

- Reviews of all documents related to the project such as the project document, quarterly and annual progress reports, financial and audit reports, and other specific reports
- Discussions with the Project Manager and Project Coordinator
- Focused interviews of other project participants, including contractors, international/national consultants, UNDP Country Office Counterparts, and members of the project steering committee (National Task Team)
- Interviews with other project stakeholders, including other relevant government agencies, and representative NGOs and community groups.

Overall, the review has found that that the work undertaken for the project is very relevant to the needs of Samoa in terms of building capacity to better equip the country for implementing the requirements of the Stockholm Convention, and addressing broader needs in the area of chemical safety and management generally. The methodology incorporated in the project design is an appropriate approach towards meeting these needs, and should be effective in doing so provided all components of the project are fully implemented as originally intended.

The overall level of project performance to date has been less than satisfactory, mainly as a result of failure to adhere to the project timelines and budget. In addition, some of the proposed activities given in the Project Document have not been carried out. Current achievements include implementation of an effective awareness raising programme and partial completion of the work on POPs inventories. Additional work is required for completion of the latter activity, along with significant improvements in most aspects of project management, and making better use of the potential for effective capacity building in the project design and funding.

The additional time requested by the Government of Samoa will definitely be needed for completion of all of the project components. Most of the remaining activities are being carried out under a single consultancy contract, which is a key risk area for the project, given that the contractor (PECL) is a relatively small company and has no previous direct experience with POPs issues. It will therefore be important for the project managers to

closely monitor the progress with this work to ensure that the required outputs are achieved within the required timeframe and to an appropriate standard.

Satisfactory completion of the PECL consultancy will provide a sound basis for the finalisation of the National Implementation Plan. However, a considerable amount of additional effort will need to be made over the next 6 to 9 months by MNRE and the project team, to achieve a higher level of stakeholder ownership of the project than is currently the case. This should help to ensure that the actions proposed in the NIP are fully supported by government, the private sector and civil society groups, and are also given appropriate consideration by potential donors.

It will also be appropriate for the project to give more attention to some of the broader aspects of chemical safety and management, such as information management, education and training, legislation, monitoring and enforcement. These are some of the areas most likely to be considered for support in future for enabling activities under the Convention.

The review concludes with a series of nine recommendations which are given in section VI. The key elements of these recommendations are as follows:

Project Coordination and Capacity Building in Support of the Project

- The need for a detailed work plan to be drawn up covering all of the activities required through to completion of the project. This level of planning should also be required for the work sub-contracted to PECL.
- Implementation of a formal system of project progress monitoring within MNRE.
- Implementation of a formal needs assessment and development of an agreed programme of capacity building activities to best utilise the available project funds and capitalise on the opportunities presented by this project.
- The need for a review of the current level of understanding of individual members of the NTT regarding the nature and scope of the project, and the role of the NTT.

Assessment of National Infrastructure and Preparation of POPs Inventories

- A review of the current work programme for component D of the project.
- The need for a review of the current contract with PECL, to identify the most effective way of incorporating appropriate monitoring procedures into the consultancy work, and to explore the potential for greater involvement of National Task Team members in the work covered by the contract.

Project Management and Administration

- Establishment of a multi-disciplinary Project Advisory Team within MNRE to assist with the design and implementation of all future project activities
- The need for UNDP to seek clarification from MNRE of a number of financial issues noted in section IVB.
- Support for the request by the Government of Samoa for a time extension through to the end of 2004, subject to satisfactory evidence that the above recommendations will be actioned without undue delay.

II. PROJECT CONCEPT AND DESIGN

A. Context of the Project

The Government of Samoa has received funding from the Global Environment Facility (GEF) for enabling activities to assist the country in meeting its obligations under the Stockholm Convention on Persistent Organic Pollutants (POPs). The Ministry of Natural Resources and Environment (formerly the Department of Lands, Surveys and Environment) is the lead government agency (Executing Agency) for the project, and the United Nations Development Programme (UNDP) is the GEF Implementing Agency.

The Stockholm Convention is an internationally binding treaty which is directed at the sound management of hazardous chemicals, and especially those which are known to be spread through the world as a result of past uses. In Samoa, some of these chemicals have been used previously in electricity transformer oils and for insect control. Others are still being produced today in very small amounts present in exhaust gases from various combustion sources, including motor vehicles, rubbish fires, waste incinerators and power stations fired on fossil fuels. Trace amounts may also be present in some local and imported foods.

The convention is currently directed at a very specific list of 12 chemicals, which are known to cause serious human health effects such as cancer. These chemicals will be controlled by steps such as prohibiting future production and use, and encouraging the use of "clean technologies". Other chemicals will be added to the convention over time, depending on decisions by the Conference of the Parties. In addition, activities under the convention are intended to assist governments in upgrading the management of all chemical substances, and in reducing the releases of dangerous pollutants to the environment.

The Government of Samoa signed the Stockholm Convention in May 2001 and ratified it in February 2002. The Convention is expected to enter into force during 2004.

A key output of the enabling activity project is the preparation of a National Implementation Plan (NIP) for the Convention. The NIP is a requirement under Article 7, which states that:

> *1. Each Party shall:*
>
> *(a) Develop and attempt to implement a plan for the implementation of its obligations under this Convention*
>
> *(b) Transmit its implementation plan to the Conference of the Parties within two years of the date on which this Convention enters into force for it: and*
>
> *(c) Review and update, as appropriate, its implementation plan on a periodic basis and in a manner to be specified by a decision of the Conference of the Parties.*

A listing of the obligations of Parties to the Convention is given in box 1 on the following page. The NIP is expected to include a number of specific Action Plans, which would indicate how the Party intends to address these requirements. However, the point should also be made that the NIP can be seen as a useful vehicle for indicating the future development needs of the Party, to assist it in meeting these obligations. **A successful outcome for the enabling activity (NIP) project will be an important precursor for leveraging further funding through the financial mechanism established under the Convention.**

Box 1 Summary of Obligations under the Stockholm Convention

(Note: This listing is simply provided as a guide to the Convention and should not be taken as a legal interpretation)

The Stockholm Convention includes a number of major provisions that obligate its Parties to:

- Prohibit and/or take legal and administrative action necessary to eliminate production and use of Annex A chemicals (aldrin, chlordane, dieldrin, endrin, heptachlor, hexachlorobenzene, mirex, toxaphene and PCBs) – Article 3.1(a);
- Restrict production and use of Annex B Chemicals (DDT) - Article 3.1(b);
- Ensure that chemicals listed in Annex A or Annex B are imported only for the purpose of environmentally sound disposal or for a use permitted for the Party under either annex – Article 3.2(a);
- Ensure that chemicals listed in Annex A or Annex B are exported only for the purpose of environmentally sound disposal, to a Party that has a permitted use of the chemical under either of the annexes or to a non-Party that certifies that it is committed to comply with certain provisions of the Stockholm Convention – Article 3.2(b);
- Take measures under existing regulatory and assessment schemes to prevent the production and use of new pesticides and industrial chemicals exhibiting the characteristics of POPs and take the criteria for identification of POPs into consideration in such schemes - Article 3.3, Article 3.4
- Register specific exemptions to Annex A or Annex B if needed and upon becoming a Party and, if an extension to such a registration is to be requested, provide a suitable justification report for the extension - Article 4.3, Article 4.6;
- Develop and implement an action plan on a national, sub-regional or regional basis, as appropriate, for the reduction of total releases of Annex C chemicals (PCDD, PCDF, HCB, PCB) from anthropogenic sources within two years of becoming a Party – Article 5;
- Manage POPs stockpiles and wastes in a manner protective of human health and the environment including developing strategies for their identification, and application of environmentally sound handling, collection, transport and disposal measures - Article 6.1;
- Develop appropriate strategies for identifying sites contaminated by POPs chemicals – Article 6.1(e);
- Prohibit disposal of POPs stockpiles and wastes involving or leading to recovery, recycling, reclamation, direct use or alternative use - Article 6.1 (d) (iii);
- Regulate transboundary movement of POPs stockpiles and waste POPs in accordance with international rules, standards and guidelines - Article 6.1 (d) (iv)
- Submit a national implementation plan to the Conference of the Parties within two years of becoming a Party and review the plan on a periodic basis - Article 7.1;
- Designate a national focal point for exchange of information on POPs - Article 9;
- Exchange information with other Parties related to reduction or elimination of production, use and release of POPs and alternatives to POPs - Article 9;
- Provide the public with access to current information on POPs including information relating to health and safety of humans and the environment - Article 10.2.
- Provide technical assistance, if a developed country, to developing country Parties and Parties with economies in transition - Article 12.1, Article 12.2;
- Provide financial support and incentives for national activities intended to achieve the objective of the Convention - Article 13.1;
- Provide financial support, if a developed country, to developing country Parties and Parties with economies in transition for agreed incremental costs associated with meeting their obligations under the Convention - Article 13.2;
- Provide periodic reports to the Secretariat on implementation of Convention provisions including statistical data on production, import and export of Annex A and Annex B chemicals - Article 15.1, Article 15.2.

B. Project Document

1. The Problem and Technical Approach

The broad "problem" addressed by the project is the requirement for Samoa to comply with the various obligations involved in being a Party to the Stockholm Convention. This is best addressed through the development of effective chemical safety and management systems. The project was designed to a fairly standard format in accordance with GEF guidelines, and has the following components:

A. Establishment of a project coordinating mechanism;
B. Capacity building in support of project implementation;
C. Assessment of national infra-structural and institutional capacity;
D. Preparation of initial POPs inventories
E. Setting objectives and priorities for POPs and POPs reduction and elimination options;
F. Preparation of a draft Implementation Plan;
G. Review and finalisation of the Implementation Plan

Alternatively, one could consider the project as having the following three overall stages:

1. Formation and development of the project team, including capacity building as required to better equip project participants for their respective roles (components A & B)
2. Collection of background data and information on the formation and use of POPs chemicals, and existing management systems (components C & D)
3. Development of a prioritised list of actions and activities (in the form of the NIP) to address any matters required under the convention, and upgrade the infrastructure for chemical management generally (components E to G)

The core team for the project is made up of a Project Coordinator and Project Assistant, reporting to a Project Manager. The work is guided by a National Task Team (referred to as National Coordinating Committee in the project document), which is made up of representatives of key government agencies, NGOs and the private sector. Much of the technical work for the project is intended to be carried out by teams of local and international experts and the budget provides for the employment of consultants to assist with this work.

2. Objectives, Indicators and Major Assumptions

The development objective of the project is *"to create sustainable capacity and ownership in Samoa to assist in meeting their obligations under the Stockholm Convention, including preparation of a National Implementation Plan (NIP), and broader issues of chemical safety and management as articulated in chapter 19 of Agenda 21"*. A key point to stress here is the aim of creating "**sustainable capacity and ownership**". The reference to "**broader issues of chemical safety and management**" should also be noted. In other words, the project is intended to have a much broader scope than just the preparation of a National Implementation Plan for dealing with the 12 specific POPs chemicals.

The Project Document has no formal listing of indicators that might be used for monitoring progress and achievements. Instead, progress has simply been monitored against the list of project activities and the project budget. This is generally consistent with the Project Document, although there is a requirement on page 19 for the preparation of "detailed annual and quarterly work and financial plan(s)", and that these were to "serve as the basis for evaluating the progress of the project activities".

The Project Document is also lacking in any discussion of the key assumptions inherent in the project design. This analysis would have been helpful in alerting the project management team to those aspects in need of particular attention during project execution. Some of the key assumptions that might have been considered are as follows:

- All project team members have the necessary skills and experience, or can be given training as required, to enable them to carry out their duties effectively and efficiently
- Project activities are actively supported and endorsed by all relevant agencies
- Suitable technical experts are available either locally or internationally to provide the necessary specialist inputs

3. Beneficiaries

The potential beneficiaries of this project and any follow-up activities are those people or organisations with direct or indirect involvement in the production, handling, use, disposal or release of chemical substances. At a very general level, this could include all members of Samoan society, because everybody is potentially at risk from exposure to POPs Chemicals. However, those with a more immediate connection with the project would include the government agencies involved with chemicals management and/or pollution control, the corresponding "user" or "producer" organisations, including the private sector, and civil society groups with an active interest in the environmental and pollution control areas.

The National Task Team for the project has been set up with broad representation across a wide range of public and private sector groups. The only significant exceptions noted during this review were the Departments of Labour (occupational health and safety) and Education. In addition, the representation of civil society is rather light, with currently only one participant from an environmental NGO.

Additional opportunities for participation in the project should arise during the public consultation activities involved in the priority setting and NIP development phases of the project.

4. Modalities of Execution

The executing agency for the project is the Ministry of Natural Resources and Environment (MNRE), which has been mandated by the Government of Samoa as the lead agency for implementation of the Stockholm Convention. The implementing agency is UNDP, which provides support for the project through its office in Samoa.

The core team for the project is made up of a Project Coordinator and Project Assistant, who report to a Project Manager under the direction of an Assistant CEO, MNRE. The work is guided by the National Task Team, which meets about once a month and is chaired by the Assistant CEO, MNRE.

The work for the project has been guided by the list of activities and indicative timelines given in the Project Implementation Plan (pages 10-13 of the Project Document). It is a concern to note that no detailed work plans have been produced for the implementation of the project, despite the specific references to this requirement in activity A4, and under the Reporting, Monitoring and Evaluation section (p19) of the Project Document. Similarly, there is no indication of any detailed financial planning for the project, apart from that inherent in the process of requests for quarterly advances against the project funds.

III. PROJECT MANAGEMENT

A. Activities

The nominal start date for the project was 1 January 2002, although funds were not received until 6 March of that year. At the time of this review the work was part way through components C and D, and therefore significantly behind schedule. The key management tool for organisation of the project has been the chart of activities and timelines (Project Implementation Plan) given in the Project Document. It should be noted that there is a significant error in this Plan, in that most of the timeline chart (p 11-13) is based on 12 calendar quarters (ie. 3 years), whereas the project is only intended to run over two years.

The responsibility for day to day management of the project rests with the Project Manager, although this person is also responsible for other projects and associated staff within MNRE. In addition, there have been changes over time in the occupancy of this position. The role was originally assumed by the present Assistant CEO of MNRE. Another person was appointed to the position when MNRE was formed, but then left Samoa in early 2003 to be replaced by the present incumbent.

The management and supervision of project implementation is largely in the hands of the Project Coordinator, with the Project Manager keeping abreast of developments through regular daily contact. The bulk of project implementation is sub-contracted to consultants.

A number of the activities included in the early phases of the project are either directly or indirectly related to management of the project, and it is therefore useful to examine these in some detail, as given below.

A1. Identify and confirm national institution/unit to serve as Focal Point

This action was more or less automatic, given that MNRE had been previously mandated (as Lands, Surveys and Environment) to take the lead on matters related to the Stockholm Convention.

A2. Identify, sensitize and agree on initial responsibilities amongst government agencies for Implementation Plan preparation

Other government agencies have been drawn into the project through participation in the National Task Team. However, there is no evidence of any formal discussions regarding the allocation of specific responsibilities or tasks to agencies other than MNRE. For example, it might have been expected that the Ministry of Agriculture, Forests and Fisheries would have been invited to take the lead on matters related to POPs pesticides. Rather, the MAFF representatives appear to see this as "Environment's project", instead of something for which they might have a shared responsibility.

A3. Identify and sensitise key stakeholders (civil society, academic, public interest NGOs, and private sector) and agree on their respective roles and responsibilities

Once again, there is no evidence of any formal discussions regarding the allocation of specific roles and responsibilities to these groups, other than participation in the National Task Team.

A4. Establish country Implementation Plan co-ordinating committee including major stakeholder classes

The National Task Team has a variety of functions, including providing "overall advice and policy guidance to the project" and making "recommendations on measures to ensure the

successful implementation of project activities" (see page 21 of the Project Document). The NTT was established within the first two months of the project and has since met on a more or less monthly basis. These meetings appear to be used mainly as a means of keeping the participants informed of progress with the project, although there is also the opportunity for members to contribute their views on various POPs issues. NTT members have also assisted with the tender review processes for consultancies, and have contributed to POPs-related activities, such as the National Chemicals Awareness Day. However, most of the NTT members interviewed did not appear to have a good understanding of the full extent of their potential role in the project.

A5. Assess capacities and needs of Focal Point and national co-ordinating committee to oversee Implementation Plan preparation (technical, communication, human resources, etc.)
No formal needs assessment has been carried out, and the only training provided has been on an ad hoc and informal basis (eg. participation of project staff or NTT members in regional POPs workshops and presentations to the NTT meetings by external consultants and SPREP). This is a particular oversight in terms of the development of individual project team members and capacity building more generally within MNRE and the NTT. Consideration should have been given to training for the project staff in areas such as time management, project management, and communication skills, in addition to training for a broader group of people in the numerous technical aspects of the project.

A6. Prepare detailed project work plan
Detailed work plans and the associated financial plans, are essential components of good project management. They should clearly specify the steps to be taken in carrying out each project activity, along with an allocation of responsibilities, target dates and the associated costs. As previously noted, no such plans have been produced for the project.

B1. Provide focal point through a project coordinator to work with the Coordinating Committee with linkages to external sources of technical expertise (national, regional and/or international)
The Project Coordinator was appointed at the start of the project. This person has extensive experience in the chemicals area, and appropriate linkages to external expertise. However, consideration needs to be given as to the best ways of capitalising on this experience, so as to build additional technical capacity within MNRE and other relevant government agencies. This could include in-house training of other staff by the PC, part-time secondment of other staff to work alongside the PC, and creation of a local knowledge network or discussion group involving people with similar interests in chemical safety and management.

B2. Provide information, training, equipment and administrative support to Focal Point, support staff and/or Coordinating Committee based on assessment in A.5
See comments on A5 above.

The above comments indicate an overall lack of adherence to the original Project Implementation Plan, which should have been picked up and addressed at the appropriate management levels.

There is little value in analysing the detailed activities of components C to G at this stage because most of the work is either still in progress or yet to be started. However, one point that does need to be considered here is the need for effective contractor management. This is because the bulk of the work for components C to F is being done by consultants. This

represents a significant risk area for the project and it is concerning to note that this has not been adequately addressed through the consultancy contracts. Specifically, there is no provision in these for regular progress reporting, and the only deadlines relate to the production of draft reports. This aspect needs to be urgently addressed through either changes in the contract or an agreement for regular (ca. weekly) progress review meetings between the consultants and the project management team. The reviews should also consider the quality and relevance of the work being produced, given that the consultants have no previous direct experience with POPs issues.

The over-reliance on consultants also raises issues of capacity building, which will be discussed elsewhere in this report. There is significant potential in the current arrangements for the consultants to build their own capacity at the expense of government personnel, and for the government to become overly dependant on these people for future POPs work.

B. Quality of Monitoring and Backstopping

The primary mechanism for monitoring progress with the project has been through quarterly reports. These are prepared by the Project Coordinator and submitted to UNDP via the Project Manager and CEO of MNRE. They are also presented to meetings of the National Task Team.

The quarterly reports take the form of a tabular presentation with the following headings:

Objective	Outcomes/ Outputs	Activities	Status	Comments (issues and recommendations)

The entries under the first three columns are taken directly from the Project Implementation Plan, with the project component headings apparently being taken as surrogate "objectives". The entries for status give a simple indication as to whether the work is on-going, or completed, while the comments section is used for noting any operational issues. The quarterly reports are also supported by financial reports, which indicate the percentage expenditure against each line item, compared to the annual budget.

In their present form, the quarterly reports appear to be of limited value as a progress monitoring tool. One major shortcoming is the absence of any timeline information, which is necessary for assessing progress against the original project plan. In addition, it would have been more helpful if the entries under activities had provided more detail about the actual work done, rather than just the broad activity statements taken from the Project Document.

The reports also suffer from being directed at multiple audiences. For example, some of the entries in the comments column refer to fairly trivial operational issues which would have been better taken up directly between the Project Coordinator and Project Manager and/or their superiors.

These deficiencies in reporting lead quite naturally to the question of effective project monitoring. Ideally, there should be a formal system within MNRE involving as a minimum, weekly checks on progress by the Project Manager, monthly checks by the Assistant CEO, and quarterly checks by the CEO. These checks should involve a comparison of actual achievements against those specified in the detailed work plan, along with a review of any operational issues raised by the project staff. The purpose of the process would be (a) to keep Management informed of progress with the project, and (b) to alert them to any issues

requiring their attention to ensure that the project remains "on track". The management team should be responsible for initiating some or all of the following remedial actions:

- Internal actions to address and/or resolve any operational issues
- Expenditure reviews to identify ways of achieving a better match with the project budget
- Adjustments to the work programme to compensate for delays in the timing of some activities
- Other resource adjustments (eg. extra staffing and use of external consultants) to assist in bringing the work programme back on track
- Requests to UNDP for technical and administrative backstopping to address any identified deficiencies.

There is no indication in the quarterly reports to indicate that any of the above actions were being considered and/or taken by the management team.

Finally, we need to consider the role of UNDP in backstopping the project. The UNDP officers keep abreast of the project through the quarterly reporting system, participation in some (but not all) of the National Task Team meetings, and regular personal contact with the project team. Participation in the NTT meetings is at the request of the PC, although it would seem more appropriate for UNDP to be formally designated as an observer and/or technical advisor for all of the meetings.

UNDP has also provided advice to the project staff on an as-required basis, which is appropriate for a country-driven project. A recent initiative to provide training to government personnel in the UNDP/GEF administrative procedures was favourably received by several of the people interviewed during this review.

At the time this project was developed there was considerable debate about the relative merits of UNDP or UNEP as implementing agencies for POPs-related projects. In this reviewer's experience, both agencies are providing a similar level of support to POPs projects within the Pacific sub-region, including technical assistance, which is available through either agency on an as-required basis. The only significant difference is the regional workshops organised by UNEP, who have the advantage of a broader funding base to work from within the region. It should be noted that Samoa has not been excluded from these workshops, although participation has been at the country's own expense.

IV. PROJECT IMPLEMENTATION

The implementation of the project is summarised in the table below, which shows the status of each activity, and also the percentage delivery against each budget line. This information will be used in support of the following discussion on aspects of project implementation.

Samoa POPs Project Budget and Delivery
(as at 30 September 2003)

	Component	Status	Budget Item	Revised Budget (US$)	Actual (US$)	% delivery
A	**Establish Enabling Activity Project Coordinating Mechanism**					
1	Identify and confirm national institution/unit to serve as Focal Point	done	Training (stakeholder inception meeting)	$13,000	$6,755.34	**48.8%**
2	Identify, sensitize and agree on initial responsibilities amongst government agencies for IP preparation	informal				
3	Identify and sensitise key stakeholders and agree on their respective roles and responsibilities	informal				
4	Establish country Implementation Plan coordinating committee including major stakeholder classes	done				
5	Assess capacities and needs of Focal Point and NCC to oversee IP preparation	no formal process				
6	Prepare detailed workplan	not done				
7	Organise broad-based stakeholder inception workshop to introduce and review project plan and implementation arrangements	done				
B	**Capacity Building in Support of Project Implementation**					
1	Provide focal point through a PC to work with the NCC	done	NTT workshop, meetings)	$18,000	$9,432.93	**52.4%**
2	Provide information, training, equpment and administrative support to FP, support staff and/or NCC based on assessment in A5	minimal training	Training (capacity building)	$15,000	$3,699.75	**24.7%**
C	**Assess National Infrastructural and Institutional Capacity**					
1	Identify government agencies and other institutions with responsibilities for POPs management and assess effectiveness of existing institutional arrangements	in process	International consultant	$6,000	$20,253.33	**337.6%**
2	Assess effectiveness of legislative regulatory and enforcement infrastructure and capacity to achieve Convention compliance	in process	National consultants	$3,000	$955.41	**31.8%**
3	Assess capacity to establish BAT and BEP for POPs source categories	in process	Training	$3,000	$0.00	**0.0%**
4	Assess socio-economic impacts caused by POPs exposure in humans and the environment	in process				
5	Assess socio-economic implications of POPs reduction and elimination, including the need for enhanced local commercial infrastructure ….etc	in process				
6	Assess POPs monitoring and R&D capacity	in process				
D	**Prepare Initial POPs Inventories**					
1	Establish and train as necessary task teams responsible for preparing inventories of various POPs categories	consultants being used	International consultant	$51,000	$41,583.75	**81.5%**
2	Prepare intial inventories of POPs imports, distribution, use, export and emissions through profiling of all relevant chemicals	in process	National consultants	$9,000	$0.00	**0.0%**
3	Prepare initial inventory of obsolete POPs and relevant chemicals stocks, POPs-containing articles in use and contaminated sites	in process	Training	$4,500	$46.90	**1.0%**
4	Prepare initial inventory of POPs releases to the environment	in process				
5	Prepare initial inventory of POPs presence, levels and trends in humans and environemt	in process				
6	Prepare initial assessment of opportunities for disposal of obsolete stocks in accordance with provisions of Article 6	in process				
7	Review existing POPs country specific exemptions and assess options for their termination	in process				
8	Conduct independent expert review of initial national POPs inventories	in process				
E	**Set Objectives and Priorities for POPs and POPs Reduction and Elimination Options**					
1	Determine national objectives for reduction and elimination of POPs releases	in process	Training	$3,000	$0.00	**0.0%**
2	Develop criteria for prioritising POPs and options to reduce and eliminate releases, taking into account….etc	in process				
3	Organise multi-stakeholder review of prioritisation criteria and solicitation of stakeholder input on application of criteria	in process				
4	Conduct exercise to prioritise POPs and POPs reduction/elimination options that are sensitised to national and cultural needs, including stakeholder review	in process				
F	**Prepare draft Implementation Plan for Meeting Samoa's Obligations under the Sockholm Convention**					
1	Establish task teams to develop plans for addressing specific POPs taking into account priorities established in E	consultants being used	International consultant	$16,000	$0.00	**0.0%**
2	Identify barriers to effective phase-out or reduction of POPs sources and uses, and remeidtaion of disposal of POPs stocks	in process	National consultants	$6,000	$0.00	**0.0%**
3	Identify actions to remove barriers to effective implementation of POPs phase-out, release reduction and remediation measures under the Convention	in process	Training	$3,000	$0.00	**0.0%**
4	Identify actions for information exchange, public education, communication and awareness raising	in process	Consultation with stakeholders	$15,000	$2,911.91	**19.4%**
5	Identify capacity building actions as required, including institutuional strengthening, training, equpment, legal and regulatory measures, enforcement,	in process				
6	Identify actions to enable termination of country-specific exemptions (if any)….etc	in process				
7	Determine needs for transfer of technology and know-how and/or enhanced use and development of indigenous knowledge and alternatives	in process				
8	identify and estimate costs of needed investments	in process				
9	Based on 1-7, prepare draft IP including specific action plans for unintentional byproducts, PCBs and where appropriate, for DDT and other POPs, as prioritised	in process				
10	Establish targets, timeframes for their achievement and mesaureable indicators of success	in process				
11	Prepare initial costs estimate for draft IP, including incremental costs	in process				
G	**Review and Finalisation of Implementation Plan**					
1	Organise briefing for high level government officials on draft IP	to come				
2	Disseminate draft IP and supporting information to stakeholders for review	to come				
3	Organise stakeholder workshop to review draft IP towards goal of consensus	to come				
4	Prepare final version of initial IP based on above review and comment process	to come				
5	Secure government, private sector, donor and other resource commitments to financing of IP	to come				
	Project Management, Operational costs, etc					
			Project Assistant	$9,000	$6,263.93	**69.6%**
			Project Coordinator	$35,000	$13,883.46	**39.7%**
			Monitoring & evaluation	$41,000	$11,842.13	**28.9%**
			International travel	$12,000	$8,047.67	**67.1%**
			MPRS & TPRs	$20,000	$0.00	**0.0%**
			expendable equipment	$29,000	$6,039.68	**20.8%**
			non-expendable equipt	$14,960	$14,170.61	**94.7%**
			misc op/maintenance	$8,500	$2,860.49	**33.7%**
			reporting costs	$15,000	$195.76	**1.3%**
			publications	$10,000	$0.00	**0.0%**
			audit	$3,000	$3,103.45	**103.4%**
			sundries	$9,240	$3,283.75	**35.5%**
			Total Cost of Activities	**$370,500**	**$155,185.51**	**41.9%**

A. Relevance

The design for this project contains a good mix of awareness raising, capacity building, and information gathering activities, which are intended to lay a sound foundation for the implementation of the Stockholm Convention in Samoa. They should also provide a good starting point for addressing "broader issues of chemical safety and management". The activities undertaken to date are all very relevant to the project. However, there is a need to broaden the scope in some areas, if the project objective is to be fully achieved. The areas most in need of attention are as follows:

Capacity building

The opportunities for capacity building were noted previously in section IIIA above, and will be discussed in more detail in sub-section F below. At this point it should simply be noted that the overall budget for training activities is only 25% spent ($10,500 out of $41,500).

Awareness Raising Activities

Article 10 of the Stockholm Convention requires Parties to undertake a wide range of public information, awareness and education activities, in support of the convention objective. An action plan for these activities should be produced as an outcome of activity F4 in the current project. However, awareness raising activities are also required as part of this project. These should be aimed at developing awareness and understanding of the POPs issue amongst all stakeholders, which hopefully, will lead to informed endorsement of the proposed Implementation Plan.

The project team has been particularly active in this area. Most members of the National Task Team made positive comments about the public profile of the project, and also on the extent to which they personally had improved in their understanding of the topic. The National Chemicals Awareness Day has been a primary focus for this activity, and most people felt that this work should be continued on an annual basis. The project has also been promoted through newspaper articles and on radio. The challenge for the remainder of the project, and even more importantly for the future, will be to devise programmes that (a) reach out to all sectors of the community, including village levels, and (b) start to address all aspects of chemical use, rather than just the specific POPs issues.

POPs Inventories

Component D of the project covers the preparation of the following inventories:

a) POPs imports, distribution, use, export and emissions
b) Obsolete POPs and relevant chemical stocks, POPs-containing articles in use, and contaminated sites
c) POPs releases to the environment
d) POPs presence, levels and trends in humans and the environment

A consultancy contract for some of this work was let during 2002, but this was directed mainly at contaminated sites (ie. part of (b)) and to very limited extent, environmental levels (part (d)). Additional work is to be done in these same areas under a new consultancy let during 2003, along with some limited work on POPs releases (part (c)). No significant work has been carried out to either obtain new data or review existing data for the information required under part (a) or part (b), other than the contaminated site investigations.

The importance of the POPs inventories cannot be emphasised too strongly. They are intended to provide the background information from which action plans are developed for responding to some of the key requirements of the Convention, namely articles 3, 4, 5, and 6. Action plans are unlikely to be endorsed by the government without sound supporting information that demonstrates the need for the proposed actions.

One key oversight in this area has been the failure to implement activity D1 of the work programme; ie. to establish and train as necessary task teams responsible for preparing initial inventories of various POPs categories. Most of the inventory work is being carried out by consultants. However, it can only be done fully and effectively with the assistance and cooperation of a variety of government agencies and private sector parties. The formation of task teams including representatives of these organisations would have greatly facilitated this work.

A specialist task team would have also been appropriate in developing an overall plan for the environmental monitoring activities. The fact that the 2002 work is now being revisited raises some concerns about the quality of the design of the original work. Environmental sampling and analysis is very expensive, and the budget allocation in this project is too limited to allow for proper investigations of the type that have been attempted. The results obtained to date raise more questions than they answer, and this situation will not be significantly changed by the additional work. Environmental monitoring is no different from most other project activities in that it should have been based on a well thought out work plan, with clearly defined objectives and outcomes, and a detailed methodology and budget. And it is also no different from other activities in the need for specialist advice, especially on aspects of overall programme design.

Convention Requirements versus Broader Issues of Chemical Safety and Management

The project objective indicates that the project activities should be carried out with broader chemical management issues in mind, rather than just the specific requirements under the Stockholm Convention. A guide to the possible issues to be considered is given in the text box below.

Box 2: Broader Issues of Chemical Safety and Management

Scope: should take a cradle to the grave approach (ie. consider all situations from import/manufacture, through handling, storage and use, and then final disposal)

Components of an Effective Chemical Management System

- Information collection, storage and analysis (eg data on imports, usage and waste)
- Access to technical information (chemical properties, health and environmental effects, control technologies, alternative chemicals and non-chemical methods)
- Laws, regulations, monitoring and enforcement
- Technical guidelines and codes of practice
- Staff training and education (regulators, users, transport operators, etc)
- Laboratory/monitoring facilities (public health, workplace and environmental impacts)
- Public information and awareness
- Infrastructure for safe handling and use (eg. protective clothing and safety equipment)
- Infrastructure for waste treatment and disposal
- Research and development (eg. testing chemicals under local conditions, trials of alternative chemicals or methods, development of local control technologies)

These broader issues should initially be considered under component C of the project, and subsequently in any follow-up proposals developed under component F. Most of the work on component C is being carried out under the current consultancy contract, although it was originally intended to be completed under an early contract which was let in 2002 but never completed.

The interviews held during this review indicated that there was very limited awareness amongst the project participants of the potential to consider broader issues of chemical management through this project. This included most members of the project team, the National Task Team, and the current consultants.

B. Efficiency

The key issue to consider here is efficiency of resource usage, especially finance and personnel.

Financially, the project is currently showing an overall expenditure of 41.9% of budget. This is more or less consistent with the extent of delivery against the project activities, although on the basis of the original timetable it should have been running at around 80%.

An audit of the project accounts was not part of the TOR for this review. Nonetheless, a number of issues were noted during an analysis of the accounts, as follows:

- Expenditure on Task Team meetings seems very high, at around US$500-750 per meeting?
- The overall expenditure on international and national consultants, including current commitments, is around US$101,000, compared to a current budget of US$91,000. Additional funds are apparently to be drawn from the allocations for training, equipment, reporting and publication costs.
- Expenditure on monitoring and evaluation also appears high. This item is apparently being interpreted as covering participation in both "environmental" monitoring, and "performance" monitoring of the project. Either way, no significant outputs were identified that would explain the level of expenditure.
- The budget allocation for audits is fully spent, and will need to be augmented from other areas to meet the future audit requirements for the project.
- Current areas of significant under-expenditure are in training, Project Coordinator costs, expendable equipment, miscellaneous operating and maintenance, sundries, reporting and publications. The last two budget items will presumably be spent during the latter stages of the project.
- The over-expenditure shown against the consultancy budget line for component C is presumably due to a coding problem.

In the case of personnel use, the project has been staffed in accordance with the project design. However, there are a number of aspects which might have been considered to achieve better utilisation of these resources, as follows:

- The Project Coordinator has particular skills in technical aspects of the project. It may therefore have been more effective to have concentrated his efforts in those areas and assigned an understudy from within MNRE to provide assistance in areas such as project management and communications. This would have had the dual benefits of providing a broader-base for the project team, while at the same time building capacity

within technical areas. (Note: it is acknowledged that other MNRE staff have been involved in the project from time to time. However, these arrangements really need to be continued throughout the life of the project to have any major benefits to either the project and/or the staff involved).

- The work of the Project Assistant is mainly directed at financial and administrative matters, but it is questionable whether the workload justifies a full-time position (although this view is disputed by both the Project Manager and Project Coordinator). It would have been more effective to have either employed a multi-skilled person who could also assist in some of the technical aspects of the project, or alternatively utilise two different staff positions within MNRE (working across two or more projects) to cover the different roles.
- Only limited use has been made of the additional resources available within MNRE that could have usefully contributed to the project. This would include the Capacity Building Officer and Legal Officer. The project would benefit significantly from more direct involvement by these people and others, in designing and planning most of the project activities.
- The failure to set up Task Teams as discussed previously, is another area where much better use could be made of the potential resources.

C. Outputs

Most of the current outputs from the project can be seen from the list of activities given in the table at the start of this section. The activities required under components A and B have been generally addressed, while all remaining components are either under way or yet to be started. Other specific outputs to note are as follows:

- The National Chemical Awareness days and associated awareness raising activities.
- A report by Montgomery Watson Harza on Preparation of an Initial Inventory of Persistent Organic Pollutants and Persistent Toxic Substances Presence, Levels and Trends in the Samoan Environment. Comments on the quality of this work were given in IVA above.
- A draft National Chemical Profile was produced by a consultant in early 2003. This document has not been reviewed in any detail because the report was never completed and the work has now been passed over to another consultant.

The high degree of reliance on consultants is a key risk area for the project, and the track record in this area raises some concerns about the consultant selection processes and contract management procedures. None of the consultants involved with the project have previously had any significant direct experience with POPs issues. In addition, the current contractor is a relatively small company, which raises questions about their capacity for delivering all of the required outcomes, within the required time.

D. Immediate Objectives

No formal objectives have been established for the different components of the project. However, if one takes the component headings as equivalent to objectives, then the current situation is as follows:

- A project coordination mechanism has been established (component A)
- Only limited capacity building has been achieved in support of project implementation (component B)

E. Effectiveness

To date the project appears to have been reasonably effective in raising awareness in Samoa of the POPs project and related chemical issues at the national level, although much work remains to be done in broadening this out to wider issues of chemical safety and management. There is also a need to consider ways of extending the message to other parts of the community such as at village level, and in developing on-going programmes that will continue after the end of the project.

It is likely that the project will be effective in meeting its primary goal of production of a National Implementation Plan, although it is too early to comment on the probable quality of this output.

The project has not been effective in fully capitalising on the capacity building opportunities available to it, for the reasons elaborated elsewhere.

Much work also remains to be done in creating widespread ownership of the project (and ultimately the NIP), especially amongst the members of the National Task Team. This should be addressed by developing a better understanding of the broader context of the project and encouraging greater involvement in project activities, such as through participation in specific task teams. At present a majority of NTT members seem to see the project as (a) belonging to MNRE, and (b) conveniently taking care of some current chemical problems that they aren't sure how to address.

F. Capacity Building

Capacity building is a specific component of the project objective and a significant proportion of the budget has been allocated for activities that would assist this. However, to date the only notable activities have been as follows:

- Support for several people to participate in regional POPs workshops and the INC meetings for the Stockholm Convention.
- Informal training for MNRE staff in aspects of environmental monitoring, through participation in the field sampling exercises carried out by the consultants, Montgomery Watson Harza.
- Technical presentations on various aspects of POPs management to NTT meetings, and during pubic events such as the National Chemicals Awareness Day and Environment Week.

Significant funds still remain in the budget for capacity building activities, and there is a need for an urgent review to identify the most effective ways in which these can be used. Consideration should also be given to the most appropriate way of capitalising on the expertise of the Project Coordinator so as to build further capacity with MNRE.

The use of international and national consultants is also relevant to capacity building. Little use appears to have been made of the potential for staff development during the work by Montgomery Watson Harza, other than the field sampling work noted above. One potential area noted by some NTT members was to arrange for somebody from Samoa to participate in the analytical work for this study. There would also have been benefits in linking the work to the task team system envisaged in the original project design, through requiring the consultants to work directly with and through the relevant teams, and to provide training in

their specialist technical areas. Consideration should be given to the potential for incorporating this approach into the current contract with Pacific Environment Consultants Limited (PECL).

There is also a need for significant efforts to be put into the development of proposals for a long term capacity building programme for Samoa in the chemicals management area. This forms part of the TOR for the current contract with PECL, but should also be considered at a national level, initially through the National Task Team. Such a proposal should form a key component of the National Implementation Plan, and should be a prime candidate for future funding under the Stockholm Convention enabling activities.

G. Impact

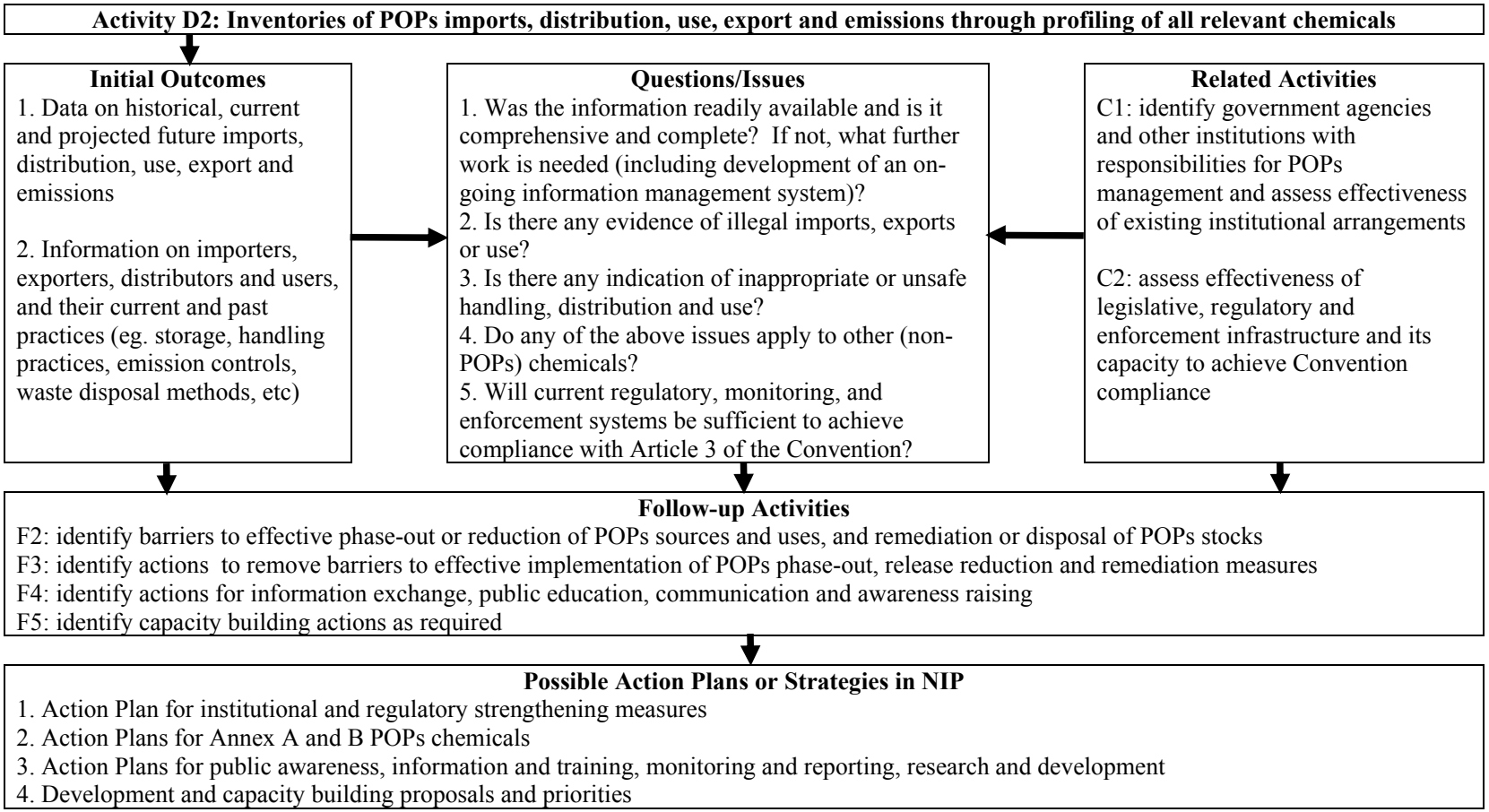
The impact of the project is currently limited to those outcomes noted above under the effectiveness and capacity building headings.

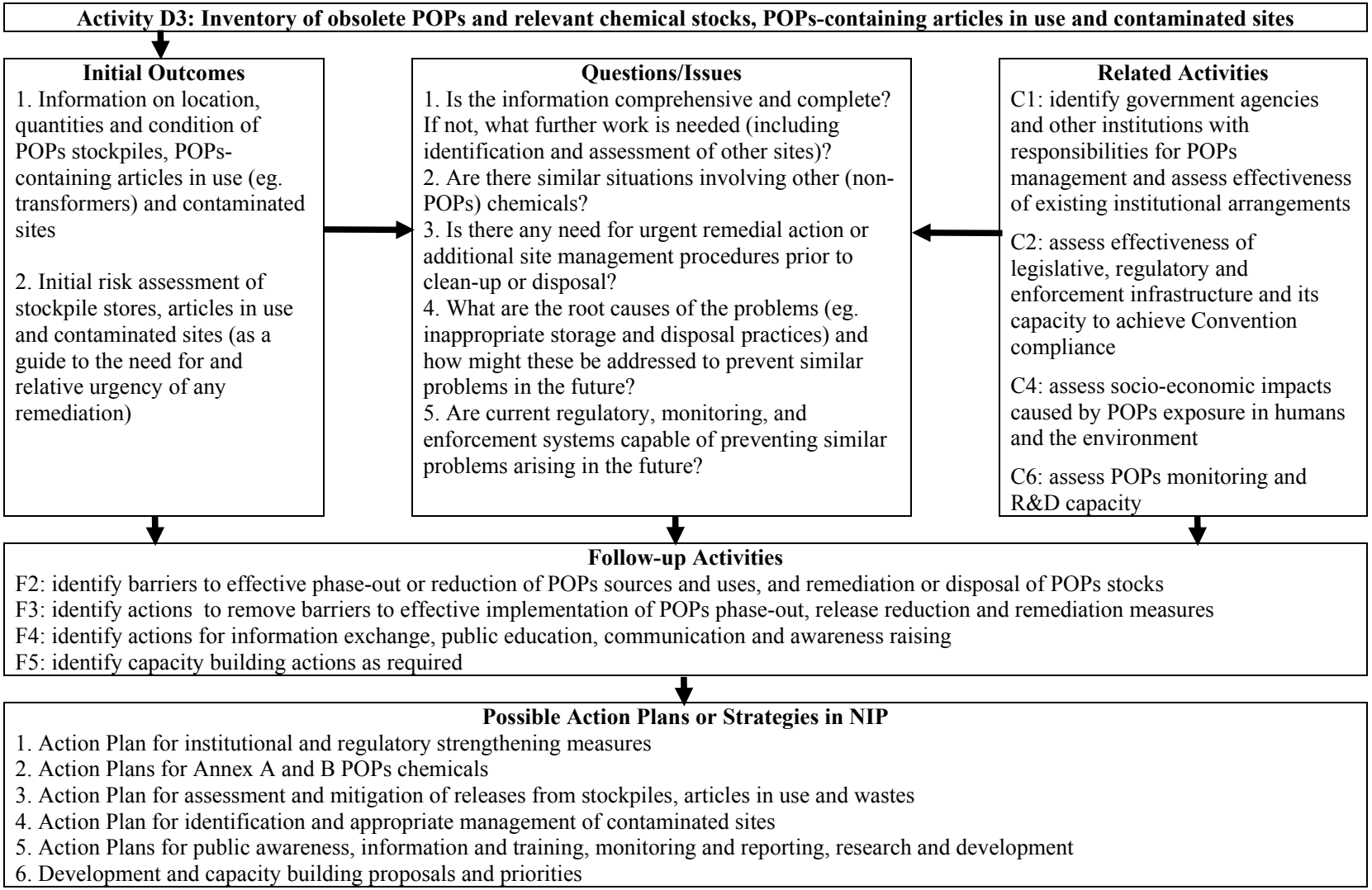
H. Follow-up

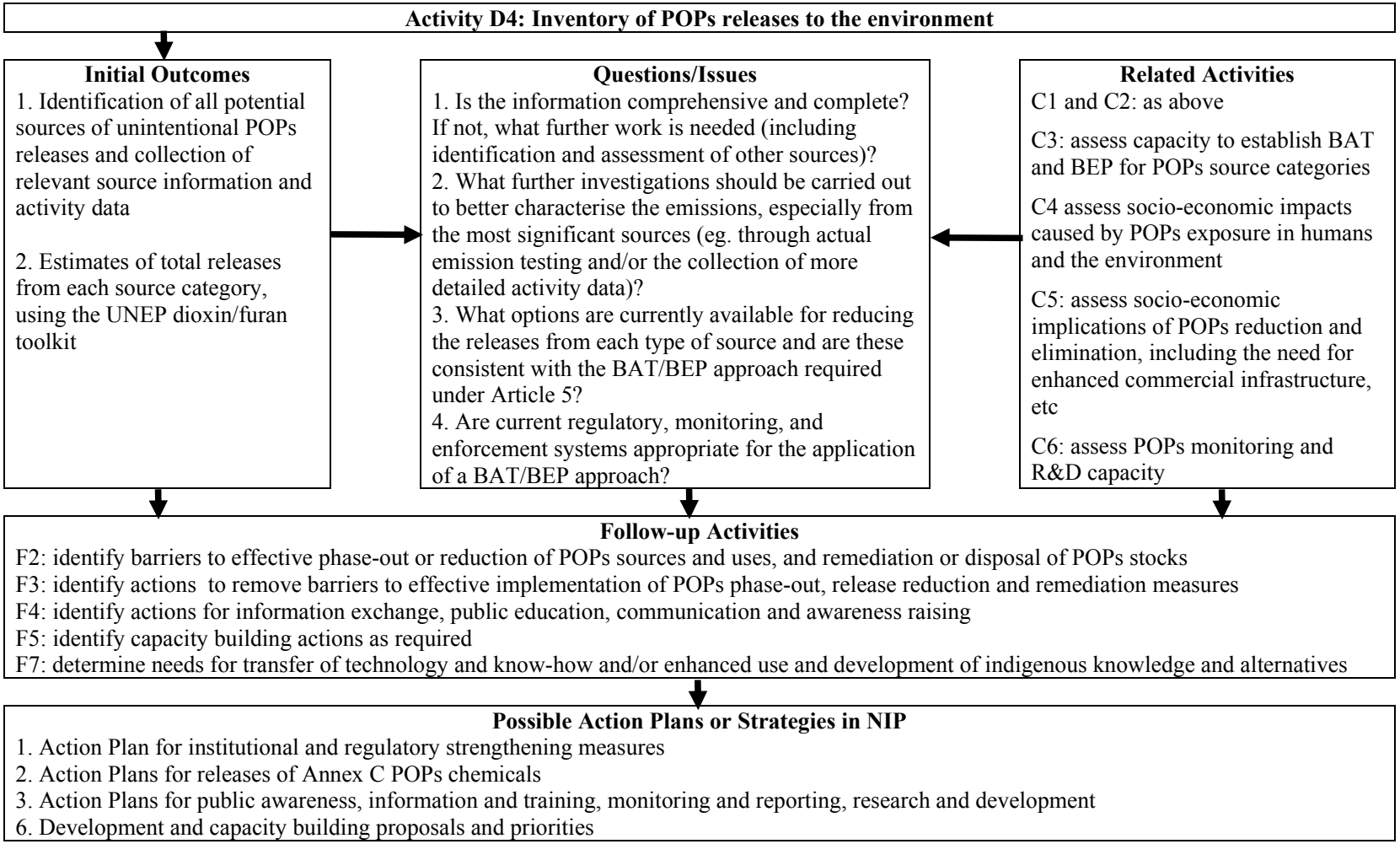
To date, little thought appears to have been given by the NTT and/or the project team, to any follow-up activities arising out of the project. Yet this is almost more important than the project itself. The production of a well thought out National Implementation Plan is an important starting point for (a) the development of effective chemical management systems in Samoa, and (b) leveraging future funding opportunities to assist these developments. The work currently being undertaken by PECL should provide a starting point for this forward planning work. However the process would be more effectively done through a task team approach, with the consultants acting more as facilitators rather than leaders. Some thought also needs to be given to the need for initial capacity building activities, to better equip the task team members for this role.

Some possible pointers to the type of analysis required for this follow-up, is given in the charts shown on the next 3 pages. These cover some of the key activities under component D of the project, coupled with a series of questions or issues that need to be asked when considering the results of the work. The answers to these questions should then lead naturally to a series of possible responses (ie. action plans), as shown in the charts. As shown, these responses are largely directed at addressing the broader issues of chemical safety and management.

Charts of Activity Connections and Links to Broader Issues of Chemical Safety and Management




Activity D3: Inventory of obsolete POPs and relevant chemical stocks, POPs-containing articles in use and contaminated sites
Initial Outcomes
1. Information on location, quantities and condition of POPs stockpiles, POPs-containing articles in use (eg. transformers) and contaminated sites
2. Initial risk assessment of stockpile stores, articles in use and contaminated sites (as a guide to the need for and relative urgency of any remediation)
Questions/Issues
1. Is the information comprehensive and complete? If not, what further work is needed (including identification and assessment of other sites)?
2. Are there similar situations involving other (non-POPs) chemicals?
3. Is there any need for urgent remedial action or additional site management procedures prior to clean-up or disposal?
4. What are the root causes of the problems (eg. inappropriate storage and disposal practices) and how might these be addressed to prevent similar problems in the future?
5. Are current regulatory, monitoring, and enforcement systems capable of preventing similar problems arising in the future?
Related Activities
C1: identify government agencies and other institutions with responsibilities for POPs management and assess effectiveness of existing institutional arrangements
C2: assess effectiveness of legislative, regulatory and enforcement infrastructure and its capacity to achieve Convention compliance
C4: assess socio-economic impacts caused by POPs exposure in humans and the environment
C6: assess POPs monitoring and R&D capacity
Follow-up Activities
F2: identify barriers to effective phase-out or reduction of POPs sources and uses, and remediation or disposal of POPs stocks
F3: identify actions to remove barriers to effective implementation of POPs phase-out, release reduction and remediation measures
F4: identify actions for information exchange, public education, communication and awareness raising
F5: identify capacity building actions as required
Possible Action Plans or Strategies in NIP
1. Action Plan for institutional and regulatory strengthening measures
2. Action Plans for Annex A and B POPs chemicals
3. Action Plan for assessment and mitigation of releases from stockpiles, articles in use and wastes
4. Action Plan for identification and appropriate management of contaminated sites
5. Action Plans for public awareness, information and training, monitoring and reporting, research and development
6. Development and capacity building proposals and priorities


Activity D4: Inventory of POPs releases to the environment
Initial Outcomes
1. Identification of all potential sources of unintentional POPs releases and collection of relevant source information and activity data
2. Estimates of total releases from each source category, using the UNEP dioxin/furan toolkit
Questions/Issues
1. Is the information comprehensive and complete? If not, what further work is needed (including identification and assessment of other sources)?
2. What further investigations should be carried out to better characterise the emissions, especially from the most significant sources (eg. through actual emission testing and/or the collection of more detailed activity data)?
3. What options are currently available for reducing the releases from each type of source and are these consistent with the BAT/BEP approach required under Article 5?
4. Are current regulatory, monitoring, and enforcement systems appropriate for the application of a BAT/BEP approach?
Related Activities
C1 and C2: as above
C3: assess capacity to establish BAT and BEP for POPs source categories
C4 assess socio-economic impacts caused by POPs exposure in humans and the environment
C5: assess socio-economic implications of POPs reduction and elimination, including the need for enhanced commercial infrastructure, etc
C6: assess POPs monitoring and R&D capacity
Follow-up Activities
F2: identify barriers to effective phase-out or reduction of POPs sources and uses, and remediation or disposal of POPs stocks
F3: identify actions to remove barriers to effective implementation of POPs phase-out, release reduction and remediation measures
F4: identify actions for information exchange, public education, communication and awareness raising
F5: identify capacity building actions as required
F7: determine needs for transfer of technology and know-how and/or enhanced use and development of indigenous knowledge and alternatives
Possible Action Plans or Strategies in NIP
1. Action Plan for institutional and regulatory strengthening measures
2. Action Plans for releases of Annex C POPs chemicals
3. Action Plans for public awareness, information and training, monitoring and reporting, research and development
6. Development and capacity building proposals and priorities

V. CONCLUSIONS

A. Findings

The key findings from this review (in no particular order) are as follows:

- Components A and B of the project are more or less complete, although the attention given to some of the activities could be improved.
- Work is currently under way on components C to F, with most of the activities being undertaken by consultants.
- The extent of reliance on consultants is a significant risk element for the project. None of the consultants selected have significant direct experience in the POPs area. There is a risk of the consultants building their own capacity at the expense of government personnel, and for the government to become overly dependant on these people for future POPs work. There is also a need for much better monitoring of consultant performance than has previously been the case, in terms of both quality and timeliness of the required outputs.
- Awareness raising activities are seen as a significant achievement of the project to date, and have been successful in raising awareness and understanding of the POPs project and related chemical issues. More work is needed to extend these activities to all sectors of the community, and to widen the scope to cover broader issues of chemical safety and management.
- There is a need for improvements in some aspects of project management, including the preparation of detailed work and financial plans, more effective systems for progress monitoring and management response to issues, and contractor management.
- The National Task Team contains a good cross-section of stakeholders, although could be usefully augmented with additional representation covering occupational health and safety, education, and additional NGOs and/or community groups.
- The NTT has been kept reasonably well informed about the project activities, but there is a need to broaden their understanding of the potential scope of the project. Some attention also needs to be given to ways of improving the level of ownership and participation in the project.
- More attention needs to be made in making the most out of the capacity building opportunities presented by this project. Completion of the needs assessment specified in activity A5 would be a useful starting point, along with the various options noted previously for extending involvement in the project, such as greater use of task teams, increased involvement of other resource people available within MNRE, and greater participation in the work being done by consultants.
- The work on POPs inventories is incomplete and would be greatly assisted by the use of a task team approach.
- Project expenditures are generally below budget, which is consistent with the current level of delivery against the project outcomes. A number of specific financial issues have been noted in section IVB above.
- The level of support provided by UNDP has been appropriate for a nationally-driven project, although the project team should consider making more use of the potential technical support which is available on request.

B. Assessment

1. Relevance

The project design for this project is very relevant to the needs of Samoa in terms of building capacity to better equip the country for implementing the requirements of the Stockholm Convention, and addressing broader needs in the area of chemical safety and management generally. The methodology incorporated in the design is an appropriate approach towards meeting these needs, and should be effective in doing so provided all components of the project are fully implemented as originally intended.

2. Performance

The overall level of project performance to date has been less than satisfactory, mainly as a result of failure to adhere to the detailed project methodology. Current achievements include implementation of an effective awareness raising programme and partial completion of the work on POPs inventories. Additional work is required for completion of the latter activity, along with significant improvements in most aspects of project management, and making better use of the potential for effective capacity building in the project design and funding.

3. Success

The Government of Samoa has requested an extension to the project through to the end of 2004, and this additional time will definitely be needed for satisfactory completion of all of the project components.

Most of the current activities are being carried out under a single consultancy contract, which is a key risk area for the project, given that the contractor is a relatively small company and has no previous direct experience with POPs issues. It will be important for the project managers to closely monitor the progress with this work to ensure that the required outputs are achieved within the required timeframe and to an appropriate standard.

Satisfactory completion of this consultancy will provide a sound basis for the finalisation of the National Implementation Plan. However, a considerable amount of additional effort will need to be made over the next 6 to 9 months by MNRE and the project team, to ensure that the NIP is then endorsed by all stakeholders, and that the proposed actions are supported by government, the private sector and potential donors.

Additional effort is also required to ensure that the NIP has a broader focus than just the specific issues associated with the 12 POPs chemicals. This should ensure that the country is well placed to access the additional support that will be available in future for enabling activities under the Convention.

VI. RECOMMENDATIONS

It is recommended that:

1. A detailed work plan should be drawn up immediately covering all of the activities required through to completion of the project. This should include a breakdown of all of the actions to be taken within each of the activities given in the Project Document, along with an allocation of responsibilities, expected completion dates, and the expected costs. This level of planning should also be required for the work sub-contracted to PECL.
2. A formal system of project progress monitoring should be implemented immediately within MNRE. At a minimum this should consist of weekly checks on progress by the Project Manager (using the detailed work plan noted above), monthly checks by the Assistant CEO, and quarterly checks by the CEO in conjunction with the routine reporting to the National Task Team and UNDP.
3. MNRE should undertake an urgent review of the current contract with PECL, to identify the most effective way of incorporating appropriate monitoring procedures into the consultancy work. Discussions should also be initiated with PECL on the potential for greater involvement of National Task Team members in the work covered by the contract (eg, through formation and use of sub-task teams), and the potential for incorporating capacity building activities into the work.
4. The National Task Team should carry out a review of the current level of understanding of individual members regarding the nature and scope of the project, and the role of the NTT. They should then formally revisit the activities described under components A2 and A3 of the Project Document and agree on future roles and responsibilities for NTT members and other stakeholders. This should include consideration of the need for additional NTT members, and the potential for participation in any sub-task teams that may be formed in accordance with activities D1 and F1.
5. A formal assessment of capacities and needs should be carried out by MNRE in accordance with activity A5, followed by development of an agreed programme of capacity building activities to best utilise the available funds and capitalise on the opportunities presented by this project.
6. The current work programme for component D of the project (POPs inventories) should be reviewed by MNRE, the NTT and the consultants, to ensure that all aspects specified in the Project Document (D2 to D8) will be adequately addressed.
7. A Project Advisory Team should be established within MNRE to assist with the activities noted in 1, 3 and 5 above, and in the design and implementation of all future project activities. The membership of this Team should draw on the wide range of skills and capabilities available within the Ministry, as appropriate for the project needs (eg. capacity building, communications, legal, finance, and technical personnel).
8. UNDP should seek clarification from MNRE of the various financial issues noted in section IVB above.
9. The request by the Government of Samoa for a time extension through to the end of 2004 should be supported by UNDP, subject to satisfactory evidence that the above recommendations will be actioned without undue delay.

VII. LESSONS LEARNT AND BEST PRACTICES

The primary lesson to be learned from the implementation of this project is really very simple: read the Project Document carefully and adhere to the methodology described therein.

Other more specific lessons are as follows:

- It is a mistake to assume that personnel recruited for a particular job will have all of the necessary skills simply because these are specified in the TOR for the position.
- Multi-disciplinary projects are best implemented by a multi-disciplinary work force.
- Project management is an essential skill for most managers, which would be best acquired through some form of formal training.
- Participation in a committee does not necessarily impart ownership.

Annex 1: Terms of Reference

Project of the Government of the Samoa
Enabling Activity Initial Assistance to Samoa to meet its obligations under the Stockholm Convention on Persistent Organic Pollutants
SAM/01/G31

Terms of Reference for Project Evaluation

Part I

1. Introduction
The Government of Samoa and UNDP officially signed the Project Document for the Enabling Activity for Initial Assistance to Samoa to meet its obligations under the Stockholm Convention on POPs in February 2002. The Ministry of Natural Resources and Environment previously known as the Department of Lands, Surveys and Environment is the lead Government agency responsible for the national coordination and implementation of this project. The POPs project for Samoa is currently under implementation with a number of results already achieved and others yet to be completed.

The development objective of the project is to create sustainable capacity and ownership in Samoa to meet their obligations under the Stockholm Convention, including preparation of POPs Implementation Plan, and broader issues of chemical safety and management as articulated in Chapter 19 of the Agenda 21. The Implementation Plan describes how Samoa will meet its obligations under the Convention to phase-out POPs sources and remediate POPs contaminated sites in Samoa.

The project has the following components:

- Establishment of an enabling activity project coordinating mechanism;
- Capacity building in support of project implementation;
- Assessment of national infra-structural and institutional capacity;
- Preparation of initial POPs inventories
- Setting objectives and priorities for POPs and POPs reduction and elimination options;
- Preparation of draft Implementation Plan;
- Review and finalize Implementation Plan

2. Objectives of the evaluation
The purpose of the evaluation of the Enabling Activity for POPs of the Government of Samoa is to assess the performance of the project in the first 12 months since the project commenced implementation. This assessment will include both the evaluation of the progress in project implementation, measured against planned outputs set forth in the Project Document in accordance with rational budget allocation, and an assessment of features related to the impact of the project.
The evaluation will identify outputs that have been successfully achieved, outputs yet to be completed, and gaps where additional work and time is required for their completion. This information will support the Government of Samoa's request for an extension to the POPs project to the end of 2004.
The evaluation will also identify lessons learned and best practices from the POPs project, which could be applied to similar national on-going and future environment projects.

3. Scope of Evaluation
The scope of the evaluation is to assess the project against its stated outputs and explore whether impacts can already be seen, including trends. In carrying out the evaluation, the following issues should be addressed:

Assessment of progress in project implementation
In this context, implementation means the provision of inputs and achievement of outputs as well as processes of implementation. The project has completed its first 12 months of implementation and as

such progress should be measured against outputs stated in the project document. The evaluation will focus on such aspects as

- appropriateness and relevance of work plan,
- compliance with the work plan along side with budget allocation;
- timeliness of disbursements;
- financial and project progress reports;
- coordination among different project stakeholders.
- any issue that has impeded or advanced the implementation of the project or any of its components, including actions taken and resolutions made should be highlighted.

[Note: Whatever format is deemed appropriate for the presentation of the assessment results in the evaluation report, the evaluation should come up with a summary of information as in the following table.]

Activities		Budget		
Planned	Actual	As per ProDoc	Actual Expenditures	% of Project Budget

Overall, the following assessments shall be carried out:

- Capacity of risk management in project implementation i.e., whether the assumptions and risks are well recognized and mitigating measures are considered throughout implementation.
- Project design, i.e., whether the project design allowed for flexibility in responding to internal and external changes in the project environment.
- Implementation difficulties, i.e., whether difficulties and barriers, which were not expected at the start of the project, are identified and the approaches for the solutions are considered and implemented effectively.
- Project resources, i.e., whether the project components and activities were logically designed as to content and time frame commensurate with the human and financial resources that were made available.
- Whether there is effective communication between the different components, so that information, data, lessons learnt, best practices and outputs are shared efficiently.
- Whether the use of both international and national consultants is appropriate and requisite for the project outputs.

Assessment of project outputs
Assess:

- Whether the project was implemented according to whether or not it followed the workplan and provide comments to whether the workplan was realistic.
- Whether the process undertaken to implement the project was in the right direction to achieve the outputs (i.e., based on the agreed work plan).
- The significance of the outputs so far achieved for the country.
- Whether the project outputs were delivered as per agreed schedule and explore reasons and lessons learnt arising out of it.
- The quality and credibility of the outputs, as stipulated in the Project Document.
- The project's contributions to improving coordination and implementation of POPs related activities in the country.
- The credibility of the data used in the project and reliance of the numerical outputs.
- The management and monitoring of the project personnel and consultants' work.

Assessment of project impact
The evaluation will focus on some aspects, which are closely related to impact assessment such as:

- **Capacity Development** - The effects of the project activities on strengthening the capacities of the Ministry of Natural Resources and Environment and other stakeholders will be assessed.
- **Leverage -** The project's effectiveness in leveraging funds that would influence larger projects or broader policies to support its goal will be assessed.
- **Awareness Raising -** The Project's contribution to raise awareness about POPs in Samoa, should be examined, as well as the project's contribution to promote policy or advocacy activities and collaboration among the stakeholders.
- **Lessons Learned and Best Practices** - Both good and bad experiences and lessons learned from the implementation of the project thus far will be identified and evaluated. There shall be a document on the integration and application of experience from the various components of the project (holistic approach).
- **Operational recommendations**- Recommendations will be developed to help the executing agency and project partners improve its operational and support activities for biodiversity conservation in Samoa in line with GEF priorities. The recommendations would aim to:
    - Help the Government of the Samoa through the Ministry of Natural Resources and Environment and partners improve project implementation and to address operational lapses and gaps;
    - Strengthen the work of the Project Manager and Coordinator and Project Steering Committee;
    - Enable UNDP Country Office and UNDP GEF to provide effective support;
    - Improve ways to draw, share and document lessons learned and best practices experience to the various stakeholders; and
    - Provide effective operational guidance for effective implementation and completion of the POPs project and onwards for future project prospect/s.

4. Evaluation Methodology
The evaluation consultant will review all relevant project documents and reports related to the planned evaluation and of the UNDP/GEFs and conduct focused group discussions with the National Project Manager, and Project Coordinator on topics and issues that relate to the implementation and impact of the project. The Evaluator is expected to become well versed as to the objectives, historical developments, institutional and management mechanisms, project activities and already documented "lessons learned" of the project. Information will be gathered through document review, group and individual interviews and site visits. More specifically, the evaluation will be based on the following sources of information:

Review of documents related to the project such as project document, quarterly and annual progress reports, financial and audit reports, other activity/component specific reports and evaluation, if there are any, etc.

Structured interview with knowledgeable parties, i.e., Project Manager, Technical Advisor, Project Coordinator(s), Contractors, International/National Consultants, UNDP Country Office Counterparts, members of the National Project Steering Committee, Project stakeholders, etc.

5. Evaluation Expert

- An independent evaluator shall possess the following competencies:
- Expertise in the field of project management
- Expertise in the field of persistent organic pollutants
- Specific experience in the Pacific in the field of persistent organic pollutants
- Well versed with the Stockholm Convention on POPs
- Good understanding of UNDP/GEF requirements

In order to ensure the credibility of the evaluation exercise, it is recommended that the evaluator is independent and not directly affiliated to the project or indirectly through another organization having close involvement in the project, or with consultant firms having had affiliations with the project and the project team.

6. Products expected from the evaluation

- Based on the scope of the evaluation described above, the evaluation report will include:
- Inception Report outlining in detail methodology, list of people to be consulted, list of documents reviewed. The Inception Report must be prepared and submitted to UNDP prior to the country/field visit.
- Full Evaluation Report detailing the following:
- Findings on the project implementation achievements, challenges, and difficulties to date;
- Assessments of the process undertaken towards the attainment of outcomes;
- Lessons learned from the project structure, coordination between different agencies, experience of the implementation, and output/outcome (in particular, information that could be useful for other UNDP GEF project,
- Rating on outcomes for both overall and each component levels, and
- Key sets of recommendations to support the need for an extension of the completion timeframe for the project to the end of 2004.

The draft Evaluation Report in electronic format will be initially shared with the Government to solicit comment/s or clarification/s and will be presented to the National Steering Committee for further deliberations and comments. Consequently, the final evaluation report will be made and submitted to the UNDP Country Office with a copy furnished to the Government and the Ministry of Natural Resources and Environment. All reports should be in Microsoft Word or Adobe Acrobat format, with no restriction in access. Refer Report Format in Part II.

Reporting Schedule

Activity	Duration	Due Dates
Prepare and submit Inception Report to UNDP	1 week prior to field visit	Latest 19 October
Submit and circulate draft evaluation report to UNDP, Government and relevant stakeholders for comments	2 weeks after field visit	Latest 7 November 2003
Incorporate comments, finalise and submit final report to UNDP	1 week from 7 November 2003	No later than 14 November 2003

7. Management Arrangements

The Evaluation Expert will be recruited by the UNDP in consultation with the Government of Samoa. UNDP recruitment procedures and requirements will be adhered to. The Evaluation Expert will report directly to the UNDP.

The UNDP and Government of Samoa through the Ministry of Natural Resources and Environment (MNRE) as the implementing agency for the Enabling Activity for POPs Project will provide all relevant project documents and reports to the evaluation consultant. In addition, the UNDP and MNRE will assist in coordinating the field work programme and in particular the consultations and discussions with key stakeholders

Annex 2: Work Schedule

The evaluation was carried out in accordance with the following timeline:

Preparatory work (home office): 6 – 19 October, 2003
Inception report submitted to UNDP: 16 October, 2003
Country visit: 20 - 24 October, 2003
Draft evaluation report submitted to UNDP by 7 November, 2003
Final evaluation report submitted to UNDP by 24 November, 2003.

Annex 3: Inception Report

Mid-Term Evaluation of the Enabling Activity: Initial Assistance to Samoa to Meet its Obligations Under the Stockholm Convention on Persistent Organic Pollutants

Inception Report

Background

The Government of Samoa has received funding from the Global Environment Facility (GEF) for enabling activities to assist the country in meeting its obligations under the Stockholm Convention on Persistent Organic Pollutants (POPs). The Ministry of Natural Resources and Environment (formerly the Department of Lands, Surveys and Environment) is the lead government agency for the project, and the United Nations Development Programme (UNDP) is the GEF Implementing Agency.

The development objective of the project is to create sustainable capacity and ownership in Samoa to assist in meeting their obligations under the Stockholm Convention, including preparation of a National Implementation Plan (NIP). The project has the following components:

- Establishment of a project coordinating mechanism;
- Capacity building in support of project implementation;
- Assessment of national infra-structural and institutional capacity;
- Preparation of initial POPs inventories
- Setting objectives and priorities for POPs and POPs reduction and elimination options;
- Preparation of a draft Implementation Plan;
- Review and finalisation of the Implementation Plan

Work started on the project in early 2002.

Mid-Term Project Review

The purpose of the evaluation of the POPs project is to assess the performance of the project in the first 12 months since project implementation. This assessment will include both the evaluation of the progress measured against the planned outputs set forth in the Project Document, and an assessment of features related to the impact of the project. The evaluation will identify outputs that have been successfully achieved, outputs yet to be completed, and gaps where additional work and time is required for their completion. This information will support the request by the Government of Samoa for an extension to the POPs project to the end of 2004. The evaluation will also identify lessons learned and best practices from the POPs project, which could be applied to similar national environment projects, either now or in the future.

The evaluation will be based around the following methodology:

- Reviews of all documents related to the project such as the project document, quarterly and annual progress reports, financial and audit reports, and other specific reports
- Structured discussions with the Project Manager and Project Coordinator
- Focused interviews of other project participants, including contractors, international/national consultants, UNDP Country Office Counterparts, and members of the National Project Steering Committee

- Interviews with other project stakeholders, including other relevant government agencies, and representative NGOs and community groups.

The results of the evaluation will be reported in terms of the following issues:

- Assessment of progress in project implementation
- Assessment of project outputs
- Assessment of project impacts

Information Reviewed

The following documents have been reviewed in preparation for this evaluation:

- The Project Document
- Project Quarterly Reports (Q1/02 to Q2/03, inclusive)
- The Annual Project Report (Jan-Dec 2002)
- The Tripartite Review Report, May 2003.

Other documents which will be reviewed during the evaluation will include the project work plan(s), financial records and reports, minutes and other records of meetings of the NCC and Task Teams, and any consultant reports.

Issues Noted During Information Review

1. The quarterly and annual project reports provide a basic mechanism for monitoring progress against the project outputs. However the limited detail available from these makes it difficult to evaluate the extent and/or quality of the activities undertaken. Presumably this will become clearer through discussions with the relevant personnel, and reviews of specific project files and/or reports.
2. There is a tendency in the reports to note operational issues that have arisen during the quarter. However, there is often no indication in subsequent reports to show that these have actually been resolved.
3. There is very little information in the project reports to indicate whether the National Coordinating Committee is actively engaged with the project. This should become clearer through discussions with individual NCC members.

Proposed Activities/Work Programme

The preparatory work for this evaluation has involved reviews of the documents noted above. The bulk of the evaluation work will be carried out in Apia during a 1-week visit, and will involve discussions and interviews with a range of people and organisations associated with the project. A proposed list of the people to be interviewed is given in the table below, along with an indication of the matters to be discussed and the estimated time requirements. Lists of specific questions will be drawn up in advance of each of these meetings.

Person/Organisation	Matters to be Discussed
Project Manager, Project Coordinator	Reviews of project work plans and reports, financial records, project files and other relevant documentation. Discussion of organisational and administrative matters. Reviews of project consultancies, awareness raising programmes, and capacity building activities, including future proposals and/or needs. (1 day)
UNDP Counterpart	Review of project records, UNDP inputs and

Person/Organisation	Matters to be Discussed
	UNDP assessment of progress to date. (0.5 days)
Ministry of Natural Resources and Environment – CEO and/or other management staff	Ministry assessment of project progress, achievements, and expectations, administrative matters and/or issues. Capacity building activities and needs. (2 hrs)
MNRE Capacity Building section	Assessment of project awareness raising activities, especially National Chemical Week. (1 hr)
Ministry of Foreign Affairs	Ministry assessment of project progress, achievements, and expectations, administrative matters and/or issues. (1 hr)
NCC members	Assessment of project progress, achievements, and expectations. These interviews should be done on a one-to-one basis, with at least half of the NCC members, including the Chairperson (1 day)
Consultants used in the project	Review of consultancy outputs and achievements. (MWH will be contacted by phone from Auckland) (2 hrs)
Local NGOs (as appropriate)	Awareness of the POPs project, assessment of achievements and future expectations (0.5 days)
School teachers and/or education officials	Awareness of the POPs project, assessment of achievements and future expectations (2 hrs)
Representatives of WHO, FAO, UNESCO and SPREP	Awareness of and extent of involvement in POPs project, potential overlaps/linkages (0.5 days)

The final phase of the evaluation will involve preparation of the draft and final reports. This work will be done from the consultant's office, in New Zealand. The draft report will be submitted to UNDP (and other parties as agreed with UNDP) for comment.

Timeline
The evaluation will be carried out in accordance with the following timeline:

Preparatory work (home office): 6 – 19 October, 2003
Country visit: 20 - 24 October, 2003
Draft evaluation report: submit by 7 November, 2003
Final evaluation report: by 14 November, 2003.

Bruce W Graham
16 October 2003

Annex 4: List of People Consulted

Ministry of Natural Resources and Environment
Dr Tu'u'u Ieti Taulealo (CEO), Taulealeausumai Laavasa Malua (Assistant CEO), Fetolai Y. Alama (POPs Project Manager), Bill Cable Project Coordinator, Pauline Tufuga (Project Asistant), Theresa P. Vaai (Legal Officer), Leilani Duffy (Capacity Building)

Ministry of Agriculture Forestry, Fisheries and Meteorology
Pimalolo Maiava (Registrar of Pesticides), Fata Alo Fania (Crops)

Ministry of Foreign Affairs and Trade
Sharon P. Aiafi & Desna Solofa

Ministry of Finance
Lina Esera (Planning), Foketi Imo (Finance)

Ministry of Internal Affairs
Avaisega Sera Tauai

Ministry of Health
Sinei Fili, Siatua Loao and Amerika Sale

Ministry of Commerce, Industry and Labour
Kalala Teo

Customs Department
Ray Pereira

Agro Store
Toomata Ah Kee (General Manager)

Electricity Power Corporation
Muausa Joseph Walter (General Manager)

O Le Siosiomaga Society
Fiu Mataese Elisara

University of the South Pacific
Dr Daya Perera

National University of Samoa
Dr Jacinta Moreau

Pacific Environmental Consultants Ltd
Sam Sesega

Montgomery Watson Harza
Paul Heveldt (by phone)

South Pacific Regional Environment Programme
Shiro Amano, Clarke Peteru

UNDP, Samoa
Tom Twining Ward, Easter Galuvao, Veronica Levi

Annex 5: List of Documents Reviewed

The following documents were reviewed during the conduct of this evaluation:

- The Project Document
- Project Quarterly Reports (Q1/02 to Q2/03, inclusive)
- The Annual Project Report (Jan-Dec 2002)
- The Tripartite Review Report, May 2003.
- Preparation of an Initial Inventory of Persistent Organic Pollutants and Persistent Toxic Substances Presence, Levels and Trends in the Samoan Environment (MWH New Zealand, March 2003)
- National Chemical Profile for Samoa (draft prepared by Dr Eletise Suluvale – this was only briefly perused as it was incomplete and is being revised by PECL).

Other material reviewed included the project financial records and reports, consultancy contracts, and the minutes and other records of meetings of the National Task Team.