**Terms of Reference (TORS)**

**Individual Consultant**

**Annex I**

Date: May 2015

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| **Services required:** Consultancy services to carry out the Terminal Evaluation of the project “Environmentally Sound Management and Destruction of Poly Chlorinated Bipheniles in Mexico”.  **Time of contract:**  1 month  **Begins:** 01/06/2015 **Ends:** 30/06/2015  **Number and project Name:** 00059701Environmentally Sound Management and Destruction of PCBs in Mexico  **Objective:** The overall objective of the Terminal Evaluation is to analyze the implementation of the project, review the achievements made by the project to deliver the specified objectives and outcomes. It will establish the relevance, performance and success of the project, including the sustainability of results.  The TE will be conducted according to the guidance, rules and procedures established by UNDP and GEF as reflected in the UNDP Evaluation Guidance for GEF Financed Projects. <http://web.undp.org/evaluation/documents/guidance/gef/undp-gef-te-guide.pdf>  **Name of supervisor of products and services:** Edgar González, Programme Officer – UNDP / Luis Eduardo de Ávila Rueda – Directorate-General for the management of hazardous materials and activities- Ministry of Environment and Natural Resources  **Travel requirements:** Travel to Mexico City (1)  **Work place:** Home-based and Mexico City  **Payments:** According to TOR’s |
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1. **BACKGROUND**

In accordance with the United Nations Development Programme (UNDP) and the Global Environment Fund’s (GEF) monitoring and evaluation policies and procedures, all full and medium-sized UNDP support GEF financed projects are required to undergo a terminal evaluation upon completion of implementation.

These terms of reference set out the expectations for a Terminal Evaluation (TE) of the Environmentally Sound Management and Destruction of PCBs in Mexico Project.

**Project Information**

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| Country: | MEXICO |
| ATLAS Award ID: | 00049136 |
| PIMS Number: | 4371 |
| GEF Focal Area | POPs |
| GEF Strategic Objective: | POPs SP-1 and POPs SP-2 |
| GEF Budget (USD): | $4,630,000.00 |
| Co-Financing Budget (USD): | $14,060,000.00 |
| Project Document Signature date: | Mexico City, 2009 |
| Date of first disbursement: | 2009 |
| Original Planned Closing Date: | 2013 |
| Executing Agency: | Secretariat of Environment and Natural Resources. (SEMARNAT) |
| Date Mid Term Evaluation took place: | March-June, 2011 |

**Objective and Scope**

This Terms of Reference is for the conduct of a Terminal Evaluation UNDP project-- Environmentally Sound Management and Destruction of PCBs in Mexico, funded by the Global Environment Facility (GEF), with a grant of US$4,630,000. UNDP is the GEF implementing agency for the project.

The central objective of this project is to minimize risks of exposure from PCBs to Mexicans, including vulnerable populations, and to the environment, while promoting Mexico’s compliance with Stockholm Convention requirements for PCB management and destruction.

The project, led by Mexico’s Secretariat of Environment and Natural Resources (SEMARNAT), would achieve this objective through creation of an enabling environment for decommissioning and destruction of Mexico’s remaining estimated inventory of 30.639 tons of PCB wastes. PCB wastes to be destroyed during the project period would include Mexico’s official (reported) inventory of 3.215 tons and part of those wastes identified and decommissioned within three industrialized states and one municipality. The enabling environment would be established via four project components: (1) development and implementation of strategies and activities for strengthening Mexico’s institutional capacity within central and state governments for environmentally sound management and destruction of PCBs, including legislation and enforcement (2) facilitation of expansion and/or upgrading of interim storage so that Mexico has adequate safe central and regional interim PCB storage facilities for its national PCB inventory, with particular emphasis on access to facilities by small- and medium-size enterprises (SMEs) (3) establishment and demonstration of a nationally-coordinated, comprehensive servicing system for PCB management, and (4) raising awareness of legal obligations and best practices for PCB management and destruction in the private and public sectors through outreach and training.

The project components are tested in one state and one municipal pilot, refined and applied in these jurisdictions and replicated in three other states during the project to provide a sound basis for continued implementation beyond the project life.

**The main stakeholders of this TE are:**

* SEMARNAT (Secretariat of Environment and Natural Resources)
* SENER (Secretariat of Energy)
* Governments of four (pilot) Mexican States: Chiapas, Distrito Federal, Guanajuato and Nuevo Leon
* NGO: “México Comunicación y Ambiente”
* Final users of Project results: enterprises, organizations, universities

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

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

**Evaluation approach and method**

An overall approach and method for conducting project terminal evaluations of UNDP supported GEF financed projects has developed over time. The evaluators are expected to use the criteria of relevance, effectiveness, efficiency, sustainability, and impact in the evaluation, as defined and explained in the UNDP Guidance for Conducting Terminal Evaluations of UNDP-supported, GEF-financed projects. A suggestive set of questions covering each of these criteria have been drafted and are included in Annex D, however the evaluators are expected to amend, complete, discuss, validate, justify and submit this matrix as part of an evaluation inception report, and shall include it as an annex to the final report.

The evaluation must provide evidence-based information that is credible, reliable and useful. The evaluator is expected to follow a participatory and consultative approach ensuring close engagement with government counterparts, UNDP Country Office, SPREP, project country teams, UNDP GEF staff (both in the region and at HQ) and other key stakeholders. The evaluator is expected to conduct field missions to the selected project countries - identified in Annex A. Interviews will be held with the key organizations and individuals, a list of stakeholders to consult will be provided for the evaluators, and consultations will be held with key stakeholders on the ground. If possible, the consultants will liaise with M&E consultants that are assisting the PACC and PACC+ country project management units. The evaluator will review all relevant sources of information, such as the project document, log frames, project reports – including project implementation reviews (PIR), project budget revisions, midterm review and associated management response, progress reports, GEF focal area tracking tools, project files and any other materials that the evaluator considers useful for the conduct of an evidence-based Terminal Evaluation. A list of documents that the project team will provide to the evaluator for review is included in Annex C of this Terms of Reference. Any additional documentation that the evaluator seeks will be made available by UNDP and its partners where available. If any are not available, the evaluator will be provided an explanation as to why the requested documentation is not available and this will also be taken into account in the final terminal evaluation including rating for overall performance of the project.

The project evaluation will be undertaken in accordance with UN evaluation norms and policies and should maintain a clear focus on results. The evaluation team is responsible for revising the approach as necessary and present its methodological proposal as part of their inception report to UNDP on the progress of the terminal evaluation. Evaluation methods should be selected for their rigor in producing conclusions based on evidence against the evaluation criteria. The evaluation team will also respond to the questions and comments raised on the evaluation by internal and external reviewers of the results ascertained.

**Evaluation criteria & ratings**

An assessment of project performance will be carried out, based against expectations set out in the Project Logical Framework/Results Framework (see Annex A), which provides performance and impact indicators for project implementation along with their corresponding means of verification. The evaluation will at a minimum cover the criteria of: relevance, effectiveness, efficiency, sustainability and impact.

Ratings must be provided on the following performance criteria. The competed table must be included in the evaluation executive summary. The obligatory rating scales are included in TOR Annex D.

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| **Rating Project Performance** | | |
| Criteria |  | Comments |
| **Monitoring and Evaluations: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)** | | |
| Overall quality of M&E | (rate 6 pt. scale) |  |
| M&E design at project start up | (rate 6 pt. scale) |  |
| M&E plan implementation | (rate 6 pt. scale) |  |
| **IA & EA Execution: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)** | | |
| Overall Quality of Project Implementation / Execution | (rate 6 pt. scale) |  |
| Implementing Agency Execution | (rate 6 pt. scale) |  |
| Executing Agency Execution | (rate 6 pt. scale) |  |
| **Outcomes: Highly Satisfactory (HS), Satisfactory (S), Moderately Satisfactory (MS), Moderately Unsatisfactory (MU), Unsatisfactory (U), Highly Unsatisfactory (HU)** | | |
| Overall Quality of Project Outcomes | (rate 6 pt. scale) |  |
| Relevance: relevant (R) or not relevant (NR) | (rate 6 pt. scale) |  |
| Effectiveness | (rate 6 pt. scale) |  |
| Efficiency | (rate 6 pt. scale) |  |
| **Sustainability: Likely (L), Moderately Likely (ML), Moderately Unlikely (MU), Unlikely (U)** | | |
| Overall likelihood of risks to Sustainability | (rate 6 pt. scale) |  |
| Financial resources | (rate 6 pt. scale) |  |
| Socio-economic | (rate 6 pt. scale) |  |
| Institutional framework and governance | (rate 6 pt. scale) |  |
| Environmental | (rate 6 pt. scale) |  |
| **Impact: Significant (S), Minimal (MS), Negligible (N)** | | |
| Environmental Status Improvement | (rate 6 pt. scale) |  |
| Environmental Stress Reduction | (rate 6 pt. scale) |  |
| Progress towards stress/status change | (rate 6 pt. scale) |  |
| Overall Project Results | (rate 6 pt. scale) |  |

**Project finance / co-finance**

The Evaluation will assess the key financial aspects of the project, including the extent of co-financing planned and realized. Project cost and funding data will be required, including annual expenditures.

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

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

**Mainstreaming**

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

**Impact**

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

**Conclusions, recommendations & lessons**

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

**Implementation arrangements**

The principal responsibility for managing this evaluation resides with the UNDP CO in Mexico. The evaluator will be responsible for liaising to set up stakeholder interviews, arrange field visits, coordinate with the Government etc.

**Evaluation timeframe**

The total duration of the evaluation will be 30 days according to the following plan:

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| --- | --- | --- |
| **Activity** | **Timing** | **Deliverables** |
| Preparation | 3 days including travel time | * Acquaintance with the project document and other relevant materials with information about the project (PIRs and other evaluation reports, products, etc.); * Familiarization with overall development situation of country (based on reading of UNDP- Common Country Assessment and other reports on the country). * Detailed mission programme preparation, including methodology, in cooperation with the UNDP Country office. * Initial telephone discussion with UNDP CO and UNDP-GEF Regional Technical Advisor |
| Evaluation Mission | 5 days  **The dates for the mission have to be: 8 – 12 June**  **2015** | * Meeting with UNDP Country office team and SEMARNAT staff; * Meetings with key stakeholders in country * Joint review of all available materials with focused attention to project outcomes and outputs * Interviews with key beneficiaries and stakeholders, including representatives of local authorities, local environmental protection authorities, local community stakeholders, etc. |
| Draft Evaluation Report | 7 days | * Final interviews / cross checking with UNDP CO, UNDP RCU and SEMARNAT. * Drafting of report in proposed format * Telephone review of major findings with SEMARNAT, UNDP CO and UNDP-GEF RTA * Completing of the draft report and presentation of draft report for comments and suggestions within 2 weeks. |
| Final Report | 2 days | * Presentation of final evaluation report within 1 week. |

**Evaluation deliverables**

The evaluation team is expected to deliver the following:

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

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

**Team composition**

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

The evaluator must present the following qualifications:

* At least 2 years of expertise POP’s issues
* Knowledge of UNDP and GEF
* Previous experience with results-based monitoring and evaluation methodologies;
* Bachelor’s Degree in Environment, Chemistry, Engineering, Administration, Science or related fields.
* The evaluator must be able to work in English, with reading knowledge of Spanish.

**Evaluator Ethics**

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

**Payment modalities and specifications**

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| **%** | **Milestone** |
| 40% | Following submission of first drat terminal evaluation report and an oral presentation of main findings of the evaluation to UNDP CO and Project Team before the mission is concluded in order to allow for clarification and validation of evaluation findings:   * Review key documentation of the project. UNDP Guidelines for Evaluations and carry out a meeting with SEMARNAT and UNDP to agree on dates and other issues to develop and inception report. * Review documentation, prepare and carry out interviews with key actors, and present a first draft of the evaluation reports a well as an oral presentation of the main findings. |
| 60% | Following submission and approval (UNDP CO and UNDP RTA) of the final terminal evaluation report:   * Integrate comments received from SEMARNAT and UNDP into the final Evaluation Report. * Evaluation Report which is to be in line with the Report Outline described in the UNDP Evaluation Guidance for GEF Financed Projects (approved by UNDP and SEMARNAT) |

**Application process**

Applicants are requested to send their proposals to the following address: [rm@undp.org](mailto:rm@undp.org). Proposals will be received until May 25th at 11:59 am. Individual consultants are invited to submit applications together with their CV for these position. The application should contain a current and complete C.V. in English with indication of the e-mail and phone contact, a P11 form (annex) and an Offer’s letter to UNDP confirming interest and availability for the IC assignment (annex). Shortlisted candidates will be requested to submit a price offer Lump-sum, indicating the total cost of the assignment with taxes included (including daily fee, per diem and travel costs).

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

Annex A – Project logical framework

| **Project Strategy** | **Objectively verifiable indicators** | | | | |
| --- | --- | --- | --- | --- | --- |
| **Indicator** | **Baseline** | **Target** | **Sources of Verification** | **Risks and Assumptions** |
| **GOAL** | Minimize risks of exposure from PCBs to Mexicans, including vulnerable populations (e.g., school children and workers), and to the environment to enable Mexico, in line with its international obligations for PCBs under the Stockholm Convention, while promoting timely compliance with PCB management, including decommissioning, and destruction provisions within Mexico. | | | | |
| **Objective of the project:**  Strengthened capacity within Mexico for environmentally sound and safe PCB management and phase out, with a particular emphasis on government coordination and facilitation of services in support of environmentally sound PCB management & phase out by small-and-medium generators, and from sensitive sites. | Tons of PCBs destroyed (per compound), and mode of destruction (tons and cost/ton)  Tons of PCBs phased out from use (per compound) (tons and cost per ton) | 30,639 tons PCBs in Mexico PPG reported and estimated inventory  4,641 tons of PCBs at sensitive sites  9,591 SMEs  5,157 electrical utilities  *(as derived from Preparatory Phase inventory: SMEs and sensitive sites figures estimated)* | Full reported waste inventory of 2007 (3.215 tons) destroyed;  Project to put in place mechanisms for 100% destruction of Mexico PCBs in full statistically verified national PCB inventory by or before 2025 | Database of certifications of destruction provided to SEMARNAT  Increased no. of PROFEPA inspections  Contrasting inventory results each year against inventory and mass balance  Transparency of results (*e.g., generator/transport registrations & manifests, certificates related to PCB waste management*) | Government coordination of waste management services, especially for SMEs & Sensitive Sites. Because the project is pioneering in nature and taking into account that the system developed will be applicable to a complex situation, mid-course corrections and/or /adjustments regarding how coordination is approached and supported financially may be required. The key risk is that changes, adjustments could be viewed as problematic, when, in fact, flexibility in testing and revisions to the system, as required, should be anticipated and viewed as a feature of system development that will needed to promote success.  Mexico will invite international experts to share experiences with public coordination of generator access to hazardous waste management services  **RISK: low** |
| **Component 1:**  Strengthened institutional capacity within Mexico’s central and state governments for environmentally sound and safe management and destruction of PCBs | Development of proposed legislative/regulatory amendments to respond to NIP recommendations & preparatory phase legislative gap analysis (2009-2010  Consultation & awareness raising with stakeholders on proposed amendments (2009)  Amendments forwarded to National Assembly (2009-10) | Gaps in legislation, including for SME holders of small quantities; for environmentally safe low-concentration PCB disposal and re-use of low-level PCB oils, e.g., in food processing facilities (permitted under current law as low-level PCB oils ( < 50 ppm) not classified as hazardous waste)  Inspections performed for 40% of large industry; none for SMEs | Comprehensive PCB legislation (2009-10) | Official Gazette (*diario oficial* <http://dof.terra.com.mx/default.htm>.=) | Legislative changes are contingent on approval by Chamber of Deputies, Senate and Presidential signature  **Risk: low** |
| **Component 1:**  Strengthened institutional capacity within Mexico’s central and state governments for environmentally sound and safe management and destruction of PCBs project) | Increased no. of inspections each year of project | Inspections performed for 40% of large industry participating in voluntary program; none for SMEs | Inspection of 70% of large generators (principally electrical utilities, steel & petroleum sectors) by 2009)  Progressive percentage increase in SME inspections each year of project, attaining 70% by 2011 within 3 project states and D.F. | PROFEPA inspectors & custom officials: training course completed  Training trainers course with industry associations, for PCB identification & generator best practices and  Training SEMARNAT managers in PCB tracking system developed: course completion  Training operators and administrators in operations of transfer facilities (interim storage, packaging, transport, etc.): certification  PROFEPA Records of inspections  SEMARNAT annual inventory updates through life of project  Number of company management plans & where provisions of plans are not met, number of prosecutions | Mexico will have to budget adequate funds each year to support staffing and resource requirements for inspections.  **Risk: low to medium**  PROFEPA’s priority setting for inspections will need to include PCBs and adequate budgetary support. PROFEPA has indicated its commitment for PCB inspections and enforcement (using facility management plans as required, and, where not met, legal action).  **Risk: low**  Continued government support for favourable regulatory regime  **Risk: Low** |
| **Component 2**  Safe regional and/or central interim PCB storage facilities established/upgraded (in particular, interim storage accessible to PCBs decommissioned from Small and Medium Enterprises | Inter-service agreements negotiated (e.g., to enable interim storage within government-owned facility(ies) interim storage) facilities enhanced and/or constructed as required to address inventory capacity, with emphasis on SME inventory\*  *\* As coordinated with electrical utilities regarding sensitive site and other units and PCB wastes that require treatment, decontamination and/or destruction/disposal*  SME participation in system (2008-2011) | No coordinated service system exists for SMEs or other generators  SMEs find it difficult to pay for existing services because of cost barriers; lack of technical capacity (disincentive to declare full inventory)  Currently private sector has no access to use of services provided by parastatals (e*.g., incineration facility for hazardous wastes owned and operated by PEMEX)* | Inter-service agreements between government and parastatals in place by 2010 Guanajuato and Cuautitlán Izcalli demonstration pilots completed with lessons learned report, including on interim storage experiences:  EIA of existing storage facilities available is completed  Transparent results of site sampling and analysis of a shortlist of potential sites  Selection of a site or sites based on results of a transparent selection process  Legal provisions and formalized agreements in place for access to facilities by private sector  Enhancement/construction of interim storage or (inter-municipal/state transfer facilities)  Environmentally sound authorized interim storage facilities for SME and sensitive site PCB inventories are adequate to capacity, in place and operating (by 2010-2011) | Records of inter-service agreements  EIA reports  Website databases and reports  Public consultation meetings on site selection process & subsequently on results  Legislation  Authorizations and operational permits of interim storage facilities  SME generator declarations measured against inventory at interim storage facilities; survey responses from state municipalities  National SME user surveys (system use; access)  SME destruction certifications increase each year | SMEs and electrical utilities (owners of sensitive site equipment) are willing to participate and supportive of the project  **Risk low**  Discussions during mission and PPG activities indicate support from parastatals CFE, LyFC, and PEMEX, and strong interest from SMEs surveyed by Municipality of Cuautitlán Izcalli and Guanajuato. Interest is likely to be similar among SMEs (as associated with awareness raising regarding compliance).  Provision of adequate budgetary support for maintenance of system over time (training; staffing; overhead, etc.) must be available, as applicable to jurisdictional levels and SMEs (.e.g., through waste handling fees; and via incentives, such as escrow account for SMEs make payment over time feasible, i.e., as condition of receipt of certification certificates after destruction is completed).  *Principally, budgetary support at State & municipal levels*  Tracking systems and transparency of data populating the systems will be required for effective system operation and accountability (certitude).  **Risk: Low (SEMARNAT commitment is high)**  Estimating adequacy of interim storage is contingent upon cooperation from Mexico’s largest utility, CFE, which services 80% of country.  **Risk: medium to high.** PROFEPA inspections as applicable to parastatal facilities will be important.  **Risk: Low.** *PROFEPA is committed to inspections but needs more staff for increased number of inspections.*  Electrical utilities allow project contractors assessing adequacy of facilities access to all of their storage facilities  **Risk: Medium to high**  Legislation allows for EIAs of existing and new facilities  **Risk: Low**  Construction of interim storage facilities, if required, will need to take into account adequate public consultation. Opposition to construction can occur because of “NIMBY” syndrome: consultation with NGOs and CSOs and their engagement will be important aspect of outreach strategies. (*An important aspect of the system will be limitations on how long PCB wastes can remain in storage prior to destruction/disposal; essentially these will function as transfer stations for PCB wastes and contaminated waste equipment)*  **Risk: Medium.**  Distrust by public can be anticipated and mitigated through quality of outreach efforts and commitment to its implementation. The technology risk per se is low as best practices design guidance is readily available.  Adequate oversight during monitoring and construction will be required to ensure contract specifications are met.  **Risk: Medium to High** |
| **Component 3**  Establishment and demonstration of a nationally coordinated comprehensive service system for PCB management (from generator to final destruction) via state and municipal pilots. | Inter-jurisdictional agreements negotiated as required for waste management with States & Municipalities (2009)  State-coordinated PCB managerial system pilots tested in a Mexican State (Guanajuato) and municipality (Cuautitlán Izcalli) (2010)  State-coordinated system refined and applied in the pilot state of Guanajuato and two other states and in the municipality of Cuautitlán Izcalli) (2011)  Destruction of PCB stocks from large generators as per SEMARNAT official inventory (by 2009)  Decommissioning and destruction of in-use PCBs and equipment held by large generators, inclusive of sensitive sites (by nationally legislated deadline)  Decommissioning and destruction of in-use PCBs and equipment held by SME generators. | Adequacy of interim storage and destruction services is not well characterized (taking into account location of facilities relative to transport options, costs as these affect client base of service providers)  NIMBY syndrome has affected service provision (i.e., as applicable to a licensed destruction facility in NW Mexico)  Large generators lack confidence in some destruction firms based on past experiences  Most SMEs are not aware/using services  Government & service providers require improved & verifiable inventory for SMEs and sensitive sites to perform their roles (administration; service delivery) and, in case of private sector, to determine economic viability, which will also serve clients through enhanced cost-efficiencies. | Persons hired from private sector, as required by system (e.g., administrators; concessionaires)  Workshop with international experts held (lessons learned from government involvement in hazardous waste management)  Participation by SMEs is in compliance with Mexican law and Stockholm provisions for destruction  100% of sensitive site and SME equipment has been decommissioned  100% of PCB-contaminated waste 100% destruction of 2006 inventory (large generators) by 2009  Percentage decrease toward 100% destruction of PCBs in storage and in service within the candidate states and D.F. | Destruction certificates, generator and transport manifests; use of Escrow funds by SMEs  Continuous reduction each year of PCBs and equipment at sensitive sites (of total inventory, 25% reduction achieved each year over 4 four years with 100 % decommissioning by legal deadline or 2012, whichever comes first | Legal amendments are anticipated to extend deadline for destruction of in-service PCBs held by SMEs  Legislation is adequate regarding reporting provisions (who reports; what must be reported, how and when, etc.)  **Risk: low to medium**: political lobbying pressure could weaken intent to have comprehensive legislation  Range of verification tools will depend to some extent on legislation and regulatory tools developed during course of project  Generators comply with surveys, self reporting and provision of legislated requirements  **Risk: low** as the project should provide financial incentives given that they must meet legal provisions already in place for disposition of PCB wastes or risk punitive damages.  Financing mechanisms to provide incentives for generators (in particular for SMEs relative to instalment payments for services) and with respect to financial incentives for accelerated decommissioning to promote pollution prevention will be explored; financial institutions will need to be able to enforce contracts and manage risks for any options that may be implemented  .**Risk: Medium to high** |
| **Outcome 4**  Communication outreach strategy developed and implemented to improve societal engagement, in particular SME generators and those responsible for/involved with sensitive site management.  Project beneficiaries, including for co-financing. | Communications Outreach strategy developed and implemented (e.g., purpose of and access to system. (to SMEs, and also to parastatals, service industry, NGOs, jurisdictions) (2008-2011)  Consultation mechanisms developed and implemented (generators; jurisdictions; service providers; NGOs and civil society, including education sector; where service facilities exist or are contemplated) | SME entities not engaged to date and low awareness of PCB legal provisions; weak technical capacity and financial barriers prevent timely compliance with Mexican law  No national outreach strategy with SME’s or parastatals exists  Public does not understand risks, exposure pathways associated with PCBs  Decision makers have low awareness of need for more comprehensive PCB legislation; low to medium awareness of need for hazardous waste management budget  Experience within Mexico with NIMBY syndrome indicates new infrastructure could face opposition. | Target groups identified: 2009  Initial outreach on project purpose during development phase to stakeholders, especially SMEs and sensitive sites (2008-9)  SME-specific outreach strategy developed and implemented (2008)  General public: outreach strategy developed and implemented (2010-2011)  Decision makers: outreach strategy developed and implemented (2009-2010)  Outreach and consultation strategy relative to service construction/improvements relative to improved health and safety | Feedback surveys from target groups throughout course of project (e.g., SMEs, schools and hospitals)  Consultation mechanism in place  Number consultations held  Media coverage  Communications and outreach financing | A strategy will need to be developed and applied early in project start-up phase for outreach to the public and media on nature of project, beneficiaries (including public and workers via reduced risk of exposure). The technological advances and legislative safeguards to reduce risk of PCB exposure posed by destruction/disposal options in Mexico as contrasted to status quo will need to be conveyed to media, NGOs and CSOs and municipalities where infrastructure for destruction/disposal is or will be located.  Experiences with State-coordinated toxic and hazardous waste management (e.g., Denmark) will be important to take into consideration.  **Risk: Medium**  NGOs and media need to be educated beyond press release communications, especially in the benefits the project will provide as contrasted to the *status quo*.  Accountability requires that results of monitoring be transparent and public and in place beyond the life of the project activity, including as supported by legislation (e.g., regulatory requirements for transport and facility registration and generator manifests; transparent databases, etc. project.  It will be important to impart to senior ministry officials how the system (and lessons learned from its application) could subsequently be adapted to and inform environmentally sound management of a wide range of toxic and hazardous wastes in Mexico (and have applicability to other developing countries).  Relevant stakeholders and target groups are interested in participating and cooperating in the design, development and implementation of the project |
| **Outcome 5**  Project management (Learning, evaluation, and adaptive management increased) | Mechanisms and processes in place for improved inter-ministerial information sharing  Process in place and budgeting formula and supports for public PCB coordination servicing, including beyond project life  Evaluation tools developed and tested  Training needs identified and budgeted for, including beyond life of project  Training PIU unit | Process for information sharing between SEMARNAT and PROFEPA needs to be improved and made more transparent  Budgeting processes to support PCB waste management coordination need to be determined  Formal mechanisms & processes for coordination & tracking needed. | Training of key administrative staff, generators and other stakeholders on timely basis  Lessons learned as part of M&E reports | Project advisory and steering committees established  Assessments and feedback surveys to inform lessons learned (government; generators; NGOs, etc.) | Monitoring and evaluation activities planned under the project are fully supported and implemented  Mexico is moving toward an increasingly transparent governance model, including as affected by SEMARNAT and PROFEPA. This will support adaptive management so long as senior managers (including political levels) recognize the need for financial support and inter-ministerial cooperation and transparency. |

Annex B – List of documents to be reviewed by the evaluator

* Project Document
* Cooperation agreements signed between UNDP and donors
* Project Technical Reports
* Annual work plans including budgets
* Annual Project Reports (APR)
* Project Implementation Review (API/PIR)
* Quarterly/six monthly Progress Reports (QPRs) and quarterly Financial Reports (FRs)
* Multipartite Review Meeting (MPR) Reports
* Project board meetings/Project board meeting minutes,
* Mid-term evaluation report

Annex C – Evaluation questions

Relevance: How does the project relate to the main objectives of the GEF focal area, and to the environment and development priorities at the local, regional and national levels?

Effectiveness: To what extent have the expected outcomes and objectives of the project been achieved?

Efficiency: Was the project implemented efficiently, in-line with international and national norms and standards?

Sustainability: To what extent are there financial, institutional, social-economic, and/or environmental risks to sustaining long-term project results?

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

Annex D – Ratings

|  |  |  |
| --- | --- | --- |
| Rating scores | | |
| Ratings for Outcomes, Effectiveness, Efficiency, M&E, I&E  Execution | Sustainability ratings: Relevance ratings | Relevance ratings |
| 6: Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency  5: Satisfactory (S): There were only minor shortcomings  4: Moderately Satisfactory (MS):there were moderate shortcomings  3. Moderately Unsatisfactory (MU): the project had significant shortcomings  2. Unsatisfactory (U): there were major shortcomings in the achievement of project objectives in terms of relevance, effectiveness, or efficiency  1. Highly Unsatisfactory (HU): The project had severe shortcomings | 4. Likely (L): negligible risks to sustainability  3. Moderately Likely (ML):moderate risks  2. Moderately Unlikely (MU): significant risks  1. Unlikely (U): severe risks | 2. Relevant (R)  1. Not relevant (NR)  Impact Ratings:  3. Significant (S)  2. Minimal (M)  1. Negligible (N) |

Annex E – Evaluation Consultant Code of Conduct and Agreement Form

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

Annex F – Evaluation Report Outline

i. Opening page:

* Title of UNDP supported GEF financed project
* UNDP and GEF project ID#s.
* Evaluation time frame and date of evaluation report
* Region and countries included in the project
* GEF Operational Program/Strategic Program
* Implementing Partner and other project partners
* Evaluation team members
* Acknowledgements

ii. Executive Summary

* Project Summary Table
* Project Description (brief)
* Evaluation Rating Table
* Summary of conclusions, recommendations and lessons

iii. Acronyms and Abbreviations (See: UNDP Editorial Manual)

1. Introduction

* Purpose of the evaluation
* Scope & Methodology
* Structure of the evaluation report

2. Project description and development context

* Project start and duration
* Problems that the project sought to address
* Immediate and development objectives of the project
* Baseline Indicators established
* Main stakeholders
* Expected Results

3. Findings

(In addition to a descriptive assessment, all criteria marked with (\*) must be rated[[1]](#footnote-1))

3.1 Project Design / Formulation

* Analysis of LFA/Results Framework (Project logic /strategy; Indicators)
* Assumptions and Risks
* Lessons from other relevant projects (e.g., same focal area) incorporated into project design
* Planned stakeholder participation
* Replication approach
* UNDP comparative advantage
* Linkages between project and other interventions within the sector
* Management arrangements

The Report length should not exceed 40 pages in total

3.2 Project Implementation

* Adaptive management (changes to the project design and project outputs during implementation)
* Partnership arrangements (with relevant stakeholders involved in the country/region)
* Feedback from M&E activities used for adaptive management
* Project Finance:
* Monitoring and evaluation: design at entry and implementation (\*)
* UNDP and Implementing Partner implementation / execution (\*) coordination, and operational issues

3.3 Project Results

Overall results (attainment of objectives) (\*)

* Relevance(\*)
* Effectiveness & Efficiency (\*)
* Country ownership
* Mainstreaming
* Sustainability (\*)
* Impact

4. Conclusions, Recommendations & Lessons

* Corrective actions for the design, implementation, monitoring and evaluation of the project
* Actions to follow up or reinforce initial benefits from the project
* Proposals for future directions underlining main objectives
* Best and worst practices in addressing issues relating to relevance, performance and success

5. Annexes

* ToR
* Itinerary
* List of persons interviewed
* Summary of field visits
* List of documents reviewed
* Evaluation Question Matrix
* Questionnaire used and summary of results
* Evaluation Consultant Agreement Form

**COA**

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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Account** | **O.Unit** | **Fund** | **Depart.** | **B Unit** | **Project** | **Activity** | **Imp- Ag.** | **Donor** |
| **71205** | **MEX** | **62000** | **51405** | **MEX10** | **00059701** | **5** | **001831** | **10003** |

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|  | |  | |
| **By the Project** | |  | | **By UNDP** | | |
| **GUILLERMO ROMÁN MOGUEL**  **PROJECT COORDINATOR** | |  | | **Edgar González**  **Director de Programa**  **PNUD México** | |

1. Using a six-point rating scale: 6: Highly Satisfactory, 5: Satisfactory, 4: Marginally Satisfactory, 3: Marginally, Unsatisfactory, 2: Unsatisfactory and 1: Highly Unsatisfactory [↑](#footnote-ref-1)