Midterm Evaluation of the IOMC Toolbox for Decision Making in Chemicals Management - Phase III

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This report is a product of the Planning, Performance Monitoring and Evaluation Unit of UNITAR and the findings, conclusions and recommendations expressed therein do not necessarily reflect the opinion of the partner agencies and countries of the IOMC Toolbox for Decision Making in Chemicals Management Participating Organisations or the European Union. The evaluation was conducted by Dr. Boru Douthwaite, Director and Principal Consultant at Selkie Consulting Limited, Westport, Ireland and supported by Ms. Katinka Koke, Associate Programme Officer, Planning, Performance Monitoring, and Evaluation Unit, UNITAR.

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Foreword

The Independent mid-term Evaluation of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) Toolbox for Decision Making in Chemicals Management – Phase III Project covers the third phase of the IOMC Toolbox project (the Toolbox project).

The Toolbox project was created to set up a 'one-stop-shop' where national staff responsible for the sound management of chemicals could quickly and easily find the resources they needed.

This evaluation assessed the project's performance against expectations set out in the project's results framework. The evaluation, being a mid-term evaluation, covered the OECD DAC criteria of relevance and effectiveness. Overall, the evaluation found the project to be relevant at a number of levels such as to related SDG targets, SAICM and SAICM beyond 2020 as well as the EU's strategic objectives. Moreover, the evaluation found that due to delays of a new version of the Toolbox platform, the workshops have provided participants with valuable networking and peer-to-peer learning opportunities that otherwise may not have gained so much prominence. The evaluation further made interesting observations related to the project's theory of change and an absence of sufficient consideration of gender equality, despite being a priority in the SAICM beyond 2020 process.

The evaluation issued a set of seven recommendations of which six were accepted and one was partially accepted.

The evaluation was managed by the UNITAR Planning, Performance Monitoring, and Evaluation (PPME) Unit and was undertaken by Dr. Boru Douthwaite, consultant and independent evaluator with support from Ms. Katinka Koke, PPME, UNITAR. The PPME Unit further provided guidance, oversight and quality assurance, as well as logistical support for interviews and mission. The Project Management Group's response to the evaluation and its conclusions and recommendations are outlined in the Management Response.

The PPME Unit is grateful to the evaluator, the UNITAR Chemicals and Waste Management Unit, WHO and other organizations from the PMG, and the other stakeholders for providing important input into this evaluation.

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Executive summary

An Independent **mid-term Evaluation** of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) Toolbox for Decision Making in Chemicals Management – Phase III Project was undertaken between November 2019 and early 2020. It aimed to assess progress towards achieving the project's planned results and assessed the relevance and effectiveness criteria.

Using a **mixed methods approach**, the evaluation included an online survey with a 16% response rate and 31 key informant interviews with stakeholders, along with a theory of change analysis, a comprehensive desk review and three training workshop case studies.

The primary **target audience** for the evaluation is the PMG and the EC as the donor; other audiences include staff in the IOMC participating organizations, and institutions and individuals that are involved in the development and delivery of SAICM.

The most highlighted **limitation** is that the changes to the online Toolbox platform had not been completed when the evaluation took place. A second limitation is that the evaluation was conceived from the start as a 'light' evaluation without travel to partner countries though the evaluation team made opportunistic use of the Minamata COP in November 2019 to interview key country stakeholders. Third, as with many evaluations, a considerable amount of the qualitative data collected was based on individual, subjective perceptions, and opinions. Fourth, the response rate of the online survey was low (16 per cent), despite two staged reminders.

The evaluation found the project to be relevant at a number of levels such as to SDG target 14.4 on the sound management of chemicals, SAICM and SAICM beyond 2020 as well as the EU's strategic objectives. Moreover, the evaluation found that delays in sharing a new version of the Toolbox platform online have changed the nature of project workshops from what was planned; however, the PMG has not adjusted to make full use of existing quality standards for design and delivery of training related to the inclusion of learning or application objectives in the agenda and no or partial participants' evaluation. Partly as a result of the delay, Toolbox workshops have provided participants with valuable networking and peer-to-peer learning opportunities that otherwise may not have gained so much prominence.

The analysis of the project's theory of change shows that the project's emerging impact pathway is essentially catalytic and nonlinear. This has a number of implications, not least with respect to the choice of indicators, targets and monitoring approach based on use of online questionnaires.

Current levels of use of the Toolbox are ahead of target. However, the targets are too low to make a significant contribution to SAICM's objective and there is an urgent need to prioritize efforts to go to 'scale'. The evaluation further found that the project does not consider gender, but should, especially considering the priority being given to it in the SAICM beyond 2020 process. Another key finding of the evaluation includes that administrative and bureaucratic requirements are impeding

efficient project delivery and that the project requires a no-cost extension and most likely a fourth phase to stabilize and amplify progress to date, and ensure the Toolbox continues to be maintained after the end of the project.

Based on the above findings, the evaluation has issued seven recommendations:

Recommendation 1: The PMG should *continue to make finishing the new Toolbox platform its main priority*, in addition to prioritizing the development of case studies that include country examples of usage of Participating Organization's guidance material in tackling chemical management challenges, with lessons learned that can be of relevance for other countries.

Recommendation 2: The PMG should *review the project's theory of change and log frame* including the indicators and targets in the log frame, in particular the project's choice of impact target, consider whether there are key causal processes and assumptions missing from the theory of change and use the theory of change and revised log frame for planning activities for the rest of the project, including any no-cost extension or fourth phase.

Recommendation 3: The PMG should ensure that *peer-to-peer learning* on the use of the new online version of the Toolbox is considered in the workshops and should *enhance the training guidelines* so that training workshops incorporate learning objectives, and are informed by evaluation results.

Recommendation 4: The PMG should explore ways of *increasing project reach and impact,* including reciprocal agreements with other chemical-related portals and platforms to point users to the Toolbox platform and encouraging each organization participating in the project, and DG Environment, to stipulate that future chemical-management-related projects include a component in the Toolbox.

Recommendation 5: The PMG should develop and implement a strategy to address *women's empowerment* in the Toolbox. The strategy should consider measures suggested by the Women and Gender @ SAICM group in their joint position paper.

Recommendation 6: The PMG should explore ways in which *tranche payments can be made in a timelier manner*, for example by changing the rule that 70% of the previous tranche budget has to be spent before the next payment can be made, and in finding ways in which the preparation of the certified consolidated financial reports can be made *less bureaucratic.*

Recommendation 7: The PMG should continue with its conversation with the EC as to requesting a *no-cost extension of one year and a fourth phase*. One requirement for either option is that the project partners agree how the Toolbox website and relevant Toolkits will be maintained after the end of the project. A second requirement is that any extension and new phase is aligned with the beyond 2020 SAICM vision that is currently being developed as part of the intercessional process.

Acronyms and abbreviations

COP	Conference of the Parties
EC	European Commission
FAO	Food and Agriculture Organization of the United Nations
GHS	Globally Harmonized System of Classification and Labelling of Chemicals
ILO	International Labour Organization
IOMC	Inter-Organization Programme for the Sound Management of Chemicals
LDC	Least Developed Country
MTE	Mid-term Evaluation
OECD	Organisation for Economic Co-operation and Development
PMG	Project Management Group
PPME	Planning, Performance Monitoring, and Evaluation Unit (UNITAR)
PRTR	Pollutant Release and Transfer Register
SDGs	Sustainable Development Goals
SAICM	Strategic Approach to International Chemicals Management
TOR	Terms of reference
UNDP	United Nations Development Program
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organization

Introduction

1. This report documents the mid-term evaluation (MTE) of the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) Toolbox for Decision Making in Chemicals Management – Phase III Project. The report starts with a description of the IOMC and the toolbox project, including the project objectives development context in which it is embedded. The MTE's scope and methodology are then described, including its limitations. Evaluation findings are presented against key evaluation questions and criteria. Building on these findings, the evaluation's conclusions are presented, along with recommendations for the Project Management Group (PMG) and the IOMC's Participating Organizations (POs) and lessons learned.

Project description, objectives, and development context

2. The IOMC brings together nine UN and multilateral organizations actively involved in chemical safety (see Box 1). The IOMC was established in 1995, following recommendations made by the 1992 UN Conference on Environment and Development. The objective of the IOMC is to strengthen international cooperation in the field of chemicals and to increase the effectiveness of the organizations' international chemicals programmes. The IOMC promotes coordination of policies and activities, pursued jointly or separately, to achieve the sound management of chemicals in relation to human health and the environment.

Box 1: IOMC Participating Organizations

- Food and Agriculture Organization of the United Nations (FAO)
- International Labour Organization (ILO)
- United Nations Development Programme (UNDP)
- United Nations Environment Programme (UNEP)
- United Nations Industrial Development Organization (UNIDO)
- United Nations Institute for Training and Research (UNITAR)
- World Health Organization (WHO)
- World Bank
- Organisation for Economic Co-operation and Development (OECD)

3. The IOMC organizations coordinate their activities on chemicals management through regular meetings held twice a year, as well as informally throughout the year. WHO is the administering organization for the IOMC, providing secretariat services. The IOMC fosters information exchange and joint planning with the aim of ensuring effective implementation without duplication. It helps identify gaps or overlaps in international activities and makes recommendations on common policies. IOMC's value proposition is that the governments that fund the IOMC members will benefit from better coordination of their work. The IOMC also

organizes regular inter-agency meetings involving additional organizations to foster broader collaboration in the sound management of chemicals.[1]

4. In 2006, IOMC was a co-convenor, together with UNEP and IFCS, of the first International Conference on Chemical Safety (ICCM) held in Dubai, United Arab Emirates that finalized and endorsed the Strategic Approach to International Chemicals Management (SAICM). The Executive Heads of the nine IOMC agencies committed to jointly or separately implement the SAICM Global Programme of Action in a Joint Statement.[2]
   This evaluation is of the third phase of the IOMC Toolbox project (the Toolbox project). The Toolbox project grew out of the observation, primarily on the part of OECD staff, that the nine IOMC members had developed hundreds of tools and guidance documents that are relevant to countries' attempts to implement SAICM, and that finding the right resource to address a specific issue could be difficult. Hence the idea of setting up a 'one-stop-shop' toolbox was born, where national staff responsible for the sound management of chemicals could quickly and easily find the resources they needed. A proof-of-concept version of the IOMC Toolbox was launched at the 3rd ICCM in September 2012[3] based on three schemes:

   - A national management scheme for pesticides
   - An occupational health and safety system
   - A chemical accident prevention, preparedness, and response system for major hazards.

5. The Toolbox was designed also as a problem identification and problem-solving tool to enable countries to identify the most appropriate and efficient actions to address specific national problems related to chemicals management. The European Commission (EC) agreed to fund the OECD to carry out the first phase of the Toolbox project.
   Phase II of the Toolbox project was implemented between November 2013 and October 2017 to undertake in-depth pilot testing of the Toolbox with user groups and carried out promotion and Toolbox training for 4 years with a €2,000,000 grant from the EC. Funding was provided through a Contribution Agreement between the EC and WHO. Participating Organizations included FAO, ILO, UNEP. UNIDO, UNITAR, and OECD. While the World Bank and UNDP were not official partners in the Project, they were regularly contacted to identify and put forward relevant tools to be included in the Toolbox. In addition, both organizations received bi-annual updates on the IOMC Toolbox project as part of the IOCC meetings.[4]
   Four new management schemes were added during Phase II of the IOMC project:

   - Industrial chemicals management system
   - Classification and labelling system (GHS)
   - System to support health authorities which have a role in the public health management of chemicals
   - Pollutant release and transfer registers (PRTRs).

6. Web applications of five toolkits in support of chemicals management were prepared and linked to the Toolbox. Toolkits were conceptualized as resources suitable for broader

[1] https://www.who.int/iomc/brochure/IOMCbrochure_june2018_en_new.pdf?ua=1
[2] https://www.who.int/iomc/IOMC_SAICM_Statement_FINAL_IOMC_website.pdf?ua=1
[3] https://www.who.int/iomc/toolbox_flyer.pdf
[4] iomc-evaluation-finalreport_rc2.pdf

audiences (i.e. beyond just policymakers), without the Toolbox's decision making trees, more akin to standard, freely browsable web resources.[5] The Toolbox was promoted to over 3,000 policy-makers worldwide, focusing on developing countries and countries with economies in transition.[6]

Phase II of the Toolbox project finished in October 2017 after a one-year no-cost extension. The final phase II project evaluation[7] found that:

> *"The toolbox concept was highly relevant to the chemicals management-related needs of policymakers working in transitional and developing economies. Moreover, the content that was developed and consolidated through the project was routinely assessed as high quality, with significant practical value for policymakers. Importantly, this content has demonstrably been applied; the evaluation found that toolbox material has directly, explicitly informed national chemicals management legislation in at least three countries."*

However, the evaluation also found that:

> *"Despite the project's solid concept and the highly regarded material, the project's effectiveness and impact are being seriously undermined by the toolbox's unpopular platform and interface. For the great majority of users, the toolbox has categorically not been an effective mechanism for accessing and managing information."*

The EC concluded that: *"Feedback during these phases [phase I and II] indicated that countries would now like the [Toolbox] project to move towards implementation of the tools thereby strengthening the sound management of chemicals in developing countries and countries with economies in transition."*[8]

Phase III of the Toolbox project was signed into existence in December 2017 with another budget of Euro 2 million for 3 years. The two objectives from the earlier phases continue to frame the project:

- To support implementation of SAICM; and,
- To enhance the identification and implementation of guidance materials for chemicals management by developing countries and countries in transition using resources developed by IOMC partner organizations.[9]

7. The project target groups are technical professionals with a role in the assessment and management of chemicals, and policy and decision makers in environmental, health and safety domains.

   The project's expected results are:

   - Toolbox further developed and functionality improved. A large part of this has been upgrading the Toolbox's online platform as strongly recommended by the phase II evaluation.
   - Toolbox promoted to policy and decision-makers at key international chemical safety conferences and events organized by IOMC partner organizations.

[5] 14b_SIGNED AGREEMENT_767540_ARES (18) 10744.pdf
[6] 14b_SIGNED AGREEMENT_767540_ARES (18) 10744.pdf
[7] iomc-evaluation-finalreport_rc2.pdf
[8] https://ec.europa.eu/transparency/regdoc/rep/3/2016/EN/C-2016-8242-F1-EN-ANNEX-8-PART-1.PDF, p. 10
[9] 14b_SIGNED AGREEMENT_767540_ARES (18) 10744.pdf

- Technical professionals are trained on the key tools in webinars and workshops in 15 countries and five (sub) regional workshops that transfer knowledge and lessons learned from the country workshops.

8. WHO is responsible for operational coordination and management, meaning that it acts as the main liaison between the EC (the Contracting Authority for the Action) and the other participating organizations and coordinates decisions relating to changes in budget or work plan. WHO is responsible for overall coordination and project reporting.
   Funding for Phase III was provided through two Pillar Assessed Grant or Delegation Agreements (PAGoDA), including an agreement between the EC and OECD and an agreement between the EC and WHO. Official project partners in the WHO agreement include FAO, ILO, UNEP, UNIDO, and UNITAR. Narrative reporting of the work under the two EC agreements is included in the joint progress reports while OECD makes separate financial reports to the EC.
   A joint Project Management Group (PMG) was established for the two Delegation Agreements. Members are representatives of the Project Partner Organizations, i.e. WHO, FAO, ILO, UNEP, UNIDO and UNITAR (PAGoDA 2 agreement) and OECD (PAGoDA 1 agreement). The roles of the joint PMG are the oversight of the implementation and coordination of work packages and activities under the two Delegation Agreements (PAGODA 1 and 2) to agree on final outputs, to discuss any budgetary and administrative issues, and to review and agree on narrative reports, including those to be submitted to the EC under the two agreements. WHO convenes meetings of the joint PMG twice per year?
   Technical (but not managerial) oversight is provided by the Inter-Organization Coordinating Committee (IOCC) composed of representatives of the IOMC Participating Organizations who have an oversight role concerning the technical aspects of implementation of the project, but not the Project management aspects. The IOCC is informed of project progress at its regular bi-annual meetings through reports by the PMG.[10]

Theory of change/project design logic

9. The evaluation team developed a theory of change for the Toolbox project (Figure 1) based on the project logical framework and the intervention logic written in the project document. The boxes in the theory of change diagram are shaded according to whether they represent project outputs (what the project produces, largely under its control), project outcomes (changes in behaviour of target groups, which the project can influence) or project impacts (longer-term more aggregate changes to which the project may be seen to have contributed well after the project finishes). The causal assumptions by which project outputs contribute to outcomes and impact are made explicit in
10. Table ***1***. The project impact is changed from “support implementation of SAICM, which was criticised in the phase II final evaluation as an outcome, to “contribution to sound management of chemicals in countries that use the Toolbox,” i.e., a contribution to SAICM’s main objective.

    The way the theory of change is used in evaluation is described in the next section on methodology.

[10] Ibid

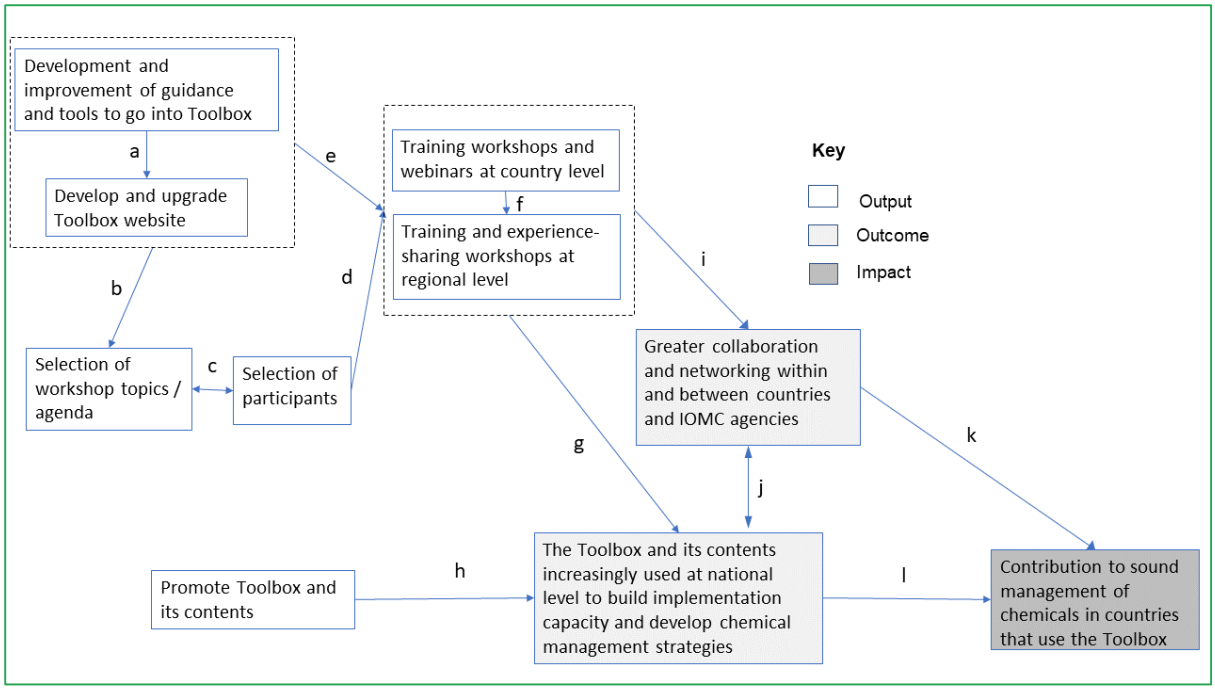


Figure 1: Toolbox project (phase III) theory of change

Table 1: Assumptions underpinning theory of change

• Causal assumption relating to the arrows
• Toolbox content is upgraded on the basis of development work by the project
• Toolbox used to help select the tools that will be worked on during the workshop
• Topics chosen are relevant to the country/region and motivate participants to attend. The agenda is adapted to the participants who will attend
• Participants who are responsible for developing and implementing chemical management systems are selected
• Improvements to the toolbox website, the addition of new tools and the upgraded training strategy make it easier and more attractive for a broader set of participants to use the toolbox and toolkits
• Outcomes and learning from country-level workshops informs the design of sub regional workshops
• Workshops work as platforms that provide opportunities for collaboration and networking among participants
• Promotion at international events results in participants taking the Toolbox back to their respective countries and using it

• Workshops and webinars work to build capacity in a context in which there is sufficient opportunity and motivation to allow for greater use of toolbox and contents to improve the management of chemicals
• Greater collaboration and networking leads to greater and better use of Toolbox and contents, and vice versa, (in part through a community of practice)
• New and improved chemical management strategies and resolution of issues contribute to sound management of chemicals in participating countries (i.e. also a contribution to the SAICM objective).

Methodology and limitations

Purpose, scope, and audience

11. The timing and scope of the MDE was discussed during the third joint PMG meeting in March 2019.[11] According to the subsequently-agreed terms of reference (Appendix C), the purpose of the evaluation is to assess progress towards achieving the project's planned results. The midterm evaluation should in particular take account of initial results and assess the relevance and effectiveness criteria. The midterm evaluation should also review project performance against the indicators and measures of the log frame, the implementation of the recommendations issued from the Phase II evaluation and address partnership modalities of the project, including the effectiveness and efficiency of implementing partners, if any. Furthermore, the evaluation should provide an overall conclusion at midterm and reveal recommendations for improving action implementation for months 18-36.

12. The primary target audience for the evaluation is the PMG and the EC as the donor. The report is also likely to be of interest to staff in the IOMC participating organizations, and – considering the project's overall objective – institutions and individuals that are involved in the development and delivery of SAICM, in particular the project's target group.

13. The final evaluation, to be undertaken upon the completion of the project, will review the relevance, coherence, effectiveness, efficiency, impact, and sustainability, and identify lessons from implementation with a view to contribute to learning and informed decision-making.[12]

Methodological approach

14. The evaluation adheres to the United Nations Evaluation Group Norms and Standards. It was undertaken in line with the United Nations principles of independence, impartiality, transparency, disclosure, ethical behaviour, partnership, competencies and capacities,

[11] IOMC Toolbox Final notes 3rd PMG meeting (1) 12 March 2019.doc

[12] Terms of reference_Independent Evaluation_IOMC Toolbox_Phase 3_Boru_rev_2

credibility and utility, and adopted a consultative and transparent approach with the Project's internal and external stakeholders throughout the evaluation process.

15. The evaluation approach is based on an evaluation matrix developed with UNITAR's PPME unit, responsible for managing the evaluation on behalf of the PMG. As per the ToR, the matrix is based on two main questions relating to two of the six OECD-DAC criteria -- relevance and effectiveness. The questions and sub questions are shown in Table 2. The full matrix, showing the judgement criteria to be used in addressing the questions, the sources of information and analytical approaches, can be found in Appendix G.

Table 2: Evaluation questions and sub questions

Relevance		
EQ1		Is the project relevant to the targeted global and country-specific needs and priorities? Is it relevant to intended users?
EQ1.1		Does the project support the 2030 Agenda for Sustainable Development and more specifically help Member States to achieve Goal 12 amongst others?
EQ1.2		To what extent is the project aligned with the European Union's strategic objectives?
EQ1.3		To what extent and how does the project support the implementation of SAICM?
EQ1.4		Is the project targeting the right users to achieve its objectives?
EQ1.5		How relevant are the workshops and the toolbox and its contents to intended users' specific needs?
EQ1.6		Have changes to the Toolbox and its contents in Phase III made it more relevant to intended users?
Effectiveness		
EQ2		Is the project reaching its intended users?
EQ2.1		To what extent and how are intended users making use of the workshops, the Toolbox, and its content? Is Toolbox use helping stakeholders address national chemical management challenges?
EQ2.2		Have new developments to the Toolbox and its contents made in Phase III, including the new website and management schemes, helped to deepen and broaden the use of the Toolbox and its contents?
EQ2.3		To what extent is the project advancing gender equality and the empowerment of women and meeting the needs of other vulnerable and marginalized groups?
EQ2.4		To what extent are the Toolbox users sharing their experience with other stakeholders in their region and as such multiply impact beyond single users or countries?
EQ2.5		Are the causal links in the project's theory of change valid? Does the theory of change require changes to better reflect the outcomes that are starting to emerge?
EQ2.6		To what extent is the project coordination / financial management and the organizational structure supporting or hindering the delivery of project results?
EQ2.7		Has phase III responded to the recommendations made by the phase II end-of-project evaluation?

16. Guided by the evaluation matrix, several tools were applied to gather and analyse qualitative and quantitative information. The primary tools were:
    - **Interviews**: 31 individuals were interviewed in Geneva during the Minamata COP in November 2019, or remotely (see Appendix E for list of stakeholders interviewed).
    - **Case studies:** Three case studies were prepared on the preparation, hosting and follow up of phase III workshops. The case studies were chosen to include both national and (sub) regional workshops on three different topics.
    - **Developing and testing the project's theory of change**: The evaluation team constructed a theory of change for the project based on descriptions of the results chain and the project logical framework provided in the project document. The team made the causal assumptions explicit and tested their validity during the evaluation, as a way of answering the evaluation question on effectiveness. Based on evaluation findings, the team recommended modifications to the theory of change to better describe how the project is contributing to outcomes and impact.
    - **Online survey of workshop participants:** A survey was deployed to obtain data and information on the relevance, usefulness and use of knowledge and skills by participants from 2018-19 workshops organised as part of the project. The survey consisted of 21 open and closed-ended questions. Invitations were sent to 274 participants from 11 workshops for whom email contacts were available. The survey was open from 13 December 2019 to 9 January 2020 and two reminders were sent. 42 responses were received by the time the survey was closed, yielding a response rate of 16 per cent. This is considered rather low but was somehow expected given similarly low response rates to previous surveys of project beneficiaries. Three interviews of individual respondents were also held to better understand the factors contributing to or preventing application of knowledge and skills. During the analysis data was disaggregated by gender. The survey was in English, but answers in other languages were also accepted.
    - **Desk review of project documents:** The evaluation team made substantial use of project documents, such as the Phase II end-of-project evaluation, project progress reports, PMG meeting minutes and workshop reports. The list of documents reviewed can be found in Appendix F.

Limitations

17. The main limitation to the evaluation is that the changes to the online Toolbox platform had not been completed when the evaluation took place at the end of 2019. This meant that it proved difficult for the evaluation team to properly answer several of the sub-evaluation questions relating to the relevance and use of the Toolbox based on feedback from workshops. As a result, the evaluation focuses more on the use of the schemes and toolkits contained in the Toolbox and not the ‘one-stop-shop’ and problem-solving attributes that motivated the development of the Toolbox in the first place.

18. A second limitation is that this evaluation was conceived from the start as a ‘light’ evaluation meaning that it has been carried out using fewer consultant days and less travel than would be budgeted for an end-of-project evaluation. This has limited the number of case studies to three and has precluded travel to any of the case study countries. To make the budget go as far as possible, the evaluation team made opportunistic use of the Minamata COP in

November 2019 to meet and talk to key stakeholders in person and have made full use of remote interviews.

19. Third, as with many evaluations, a considerable amount of the qualitative data collected was based on individual, subjective perceptions, and opinions. To mitigate any subjective bias, findings have been triangulated across sources, and across data collection tools (interviews, different case study countries, document review, surveys, etc.).

20. Fourth, the response rate of the online survey was low (similar to the phase II end-of-project evaluation), despite two staged reminders. Consequently, findings associated with the survey should be treated with caution and this point is reiterated whenever survey data are discussed.

Evaluation findings based on criteria/principal evaluation questions

21. This section presents the main findings of the evaluation questions in **Error! Reference s ource not found.** covering relevance and effectiveness. The judgement criteria and analysis to arrive at these findings are described in the evaluation matrix (Appendix G) and the methodology section above.

EQ1. Is the project relevant to the targeted global and country specific needs and priorities? Is it relevant to intended users?

EQ1.1: Does the project support the 2030 Agenda for Sustainable Development and more specifically help member states achieve Goal 12?

Finding 1: IOMC makes a plausible argument that the sound management of chemicals and waste is relevant to the achievement of all 17 of the SDG goals. The project's objective of supporting the implementation of SAICM ties it directly to the achievement of SDG target 12.4.

22. Agreed on in 2015, the sustainable development goals (SDGs) are a universal plan for all countries to end poverty, protect the planet and ensure prosperity for all. They are a set of 17 goals which include 169 targets that set the global development agenda until 2030. They provide a focus for the international community's development efforts until 2030 and are the yardstick by which progress will be measured. They are intended to be tackled as a group rather than individually - the 17 goals are interlinked.[13]
IOMC has published a policy note that shows how sound chemical management is related to achieving all 17 goals.[14] For example, for SDG 1 on no poverty, the note makes the point that poor populations are more vulnerable to hazardous chemicals. By implication, the IOMC

[13] https://sustainabledevelopment.un.org/
[14] https://www.who.int/iomc/IOMC_CWMandSDGsbrochure_final_01Feb18_new.pdf

Toolbox project, which supports sound chemical and waste management, is relevant to all 17 goals.

Sound management of chemicals and waste is a specific target under SDG 12 on Sustainable Consumption and Production. Chemicals, waste and air quality are also referred to under SDG 3 on Good Health and Well-being, SDG 6 on Clean Water and Sanitation, SDG 7 on Affordable and Clean Energy, SDG 11 on Sustainable Cities and Communities and SDG14 on Life Below Water.[15]

Aligned with the overall SAICM objective, target 12.4 under Goal 12 on responsible production and consumption specifically mentions chemicals:

> By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment.[16]

The project's theory of change is that it will achieve impact through contributing to the achievement of the SIACM objective. Hence, the project is highly relevant to helping member states achieve Goal 12. The project is likely to continue to the SAICM beyond 2020, see Finding 6.

Finding 2: There is an important view held by the PMG that to help achieve the SDGs , IOMC members need to become better at working together on chemical management projects, particularly on capacity development. As the only joint IOMC project, the Toolbox project offers a unique opportunity to identify and understand the benefits of collaboration as well as the constraints to working together to improve chemicals management. Lessons should be learned on how to best finance collaborative work and administer it.

23. The evaluation team found that members of both the PMG and SAICM Secretariat[17] thought that while the existence of the IOMC since 1995 has led to better coordination between participating agencies at headquarters level, much closer inter-agency collaboration was now urgently needed, in particular at the country level, to achieve the multi-dimensional SDG goals by 2030. One respondent[18] said that UN organizations had to stop competing and start complementing each other. He had previously worked for a UN organization, and cited the example of two projects led by different UN agencies that had intended to duplicate the same inventory in the same region of a country until his organization had been able to point this out. Other respondents talked about the need for the “one UN” concept to work.

24. It was pointed out that the Toolbox project is the only project implemented by the IOMC,[19] and as such provides a unique opportunity to identify and understand the benefits of collaboration as well as the constraints to working together to improve chemicals management. This understanding has the potential to positively influence what is put in place to continue to achieve SAICM’s goals after 2020. One respondent felt very strongly that lessons could be

[15] http://www.saicm.org/Default.aspx?tabid=7654
[16] https://open.undp.org/sdg/targets/12/4
[17] Respondents 11, 14 & 13
[18] Respondent 3
[19] Respondent 16

learned from the Toolbox project about how to best raise funds to work together and how best to administer collaborative projects.[20]

EQ1.2: To what extent and how does the project support the implementation of SAICM?

Finding 3: In terms of objectives, the project is highly relevant to SAICM, because it contributes to SAICM's objective to promote chemical safety worldwide. In terms of implementation, the project has had less influence than expected on the Quick Start Programme which has been SAICM's main mechanism to achieve its objectives.

25. As described in Section 2, SAICM was established in 2006 at the first ICCM with IOMC as a co-convenor. SAICM is a policy framework to promote chemical safety around the world that runs until 2020.[21] Capacity building activities for the implementation of SAICM objectives have been supported by the Quick Start Programme (QSP) that has run since SAICM's inception and is now being wound up in anticipation of SAICM's sunsetting in 2020. The QSP has had 14 rounds of applications and has funded 184 projects with a total budget of over US$ 100 million, including co-financing and in-kind contributions.[22] The Phase II & III of the Toolbox project envisaged that promotion of the Toolbox at QSP workshops would expand the use of Toolbox, encourage agencies to work more closely together and contribute to achieving SAICM's objectives. However, this pathway seems not to have yielded results, possibly because most QSP projects began before the Toolbox became available.[23] An impact evaluation of the QSP carried out in 2015 made no mention of the Toolbox concept.[24]

Finding 4: Potentially, the Toolbox project's most important contribution to achieving SAICM's objectives is to encourage greater inter- and intra-organizational collaboration at different scales.

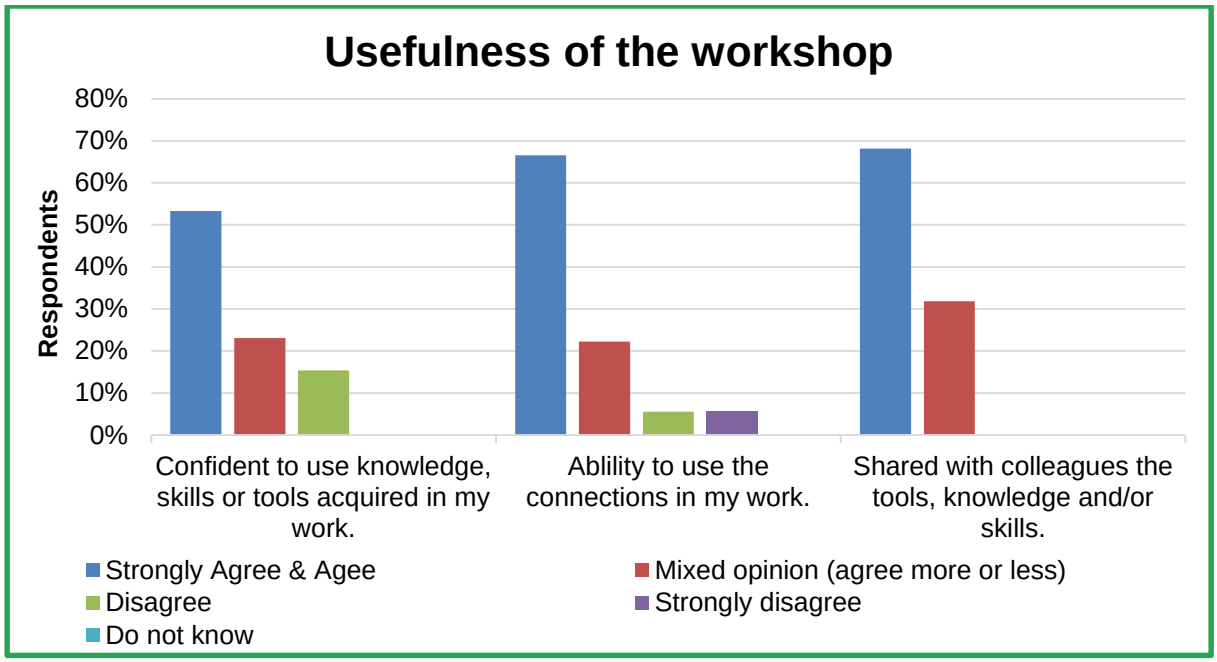
26. According to several respondents, the Toolbox project's main potential contribution to achieving SAICM's objectives is to encourage IOMC partners to work more closely together at national, regional and global levels, and for concerned ministries to work more closely together at national level with each other, with civil society organizations and industry. This view derives from the strong sense from respondents that sound management of chemicals is a cross-cutting issue that requires collaboration.

27. Evidence that collaboration is valued at national and (sub) regional level came from the online survey of participants of phase III workshops. Over 90% of respondents agreed that the workshop they attended provided them with the opportunity to make connections to other participants, 67% indicate that they have been able to use the connections made and over 40% said that meeting and learning from each other was the most useful aspect of the workshop. Descriptions of this benefit included:

[20] Respondent 11
[21] http://www.saicm.org/About/SAICMOverview
[22] http://www.saicm.org/Portals/12/Documents/QSP/QSP%20Impact%20Evaluation%20Report.pdf ($39 million funding; $74 million co-financing)
[23] Respondent 14
[24] http://www.saicm.org/Portals/12/Documents/QSP/QSP%20Impact%20Evaluation%20Report.pdf

- “The interaction with representatives from other countries allowing (us) to know how they are currently managing their chemicals.”
- “Connections with the participating experts.”
- “To know the reality in other countries and compare to mine.”
- “Connection with other colleagues in the same field of experience (toxicology) from other countries.”
- “Know what others are doing in my country about the treatment of chemicals.”

Figure 2: Usefulness of the workshop for survey respondents



28. At the global level, holding workshops has led to some IOMC members working together, as shown in

29. **Table 3**. The greatest inter-agency collaboration in terms of planning agendas together has been in workshops led by UNITAR and workshops on the topics of industrial chemicals and chemicals and health. Workshops on pesticides led by FAO have not included other agencies,

probably due to the fact that these workshops were focusing on the FAO Pesticide Registration Toolkit and covered pesticides that are chemicals mostly used in agriculture, an area led by FAO among IOMC organisations; the Toolkit is mostly used in agricultural sectors in training countries. Over the last two years, FAO has trained registrars and technicians in 53 countries in total, with over half trained in Toolbox-project-funded workshops (see case study), with far greater coverage than for other workshop topics. There may be value in one or more participating organizations attending FAO-led workshops to address other relevant areas such as chemical and waste management.

Finding 5: It is useful to think of the Toolbox and its contents as 'boundary objects' that help break down sectoral and disciplinary boundaries in the pursuit of the sound management of chemicals and waste. This outcome was largely unexpected.

30. The concept of a boundary object from sociology can help one understand how the Toolbox workshops appear to be working to build useful connections.

> Boundary objects are objects which are both plastics enough to adapt to local needs and the constraints of the several parties employing them, yet robust enough to maintain a common identity across sites. They are weakly structured in common use and become strongly structured in individual-site use. They may be abstract or concrete. They have different meanings in different social worlds, but their structure is common enough to more than one world to make them recognizable, a means of translation. The creation and management of boundary objects is key in developing and maintaining coherence across intersecting social worlds.[25]

31. In the knowledge management literature, which informs thinking on communities of practice, boundary objects are understood as entities that can link communities together as they allow different groups to collaborate on a common task.[26]

32. From this definition, the Toolbox, and the toolkits it contains, can be understood as boundary objects. In theory, the value of boundary objects is that they help with knowledge integration across institutional and disciplinary boundaries. It is generally acknowledged that achieving the SDGs, including SDG 12.4 on sound chemical management will require deep, cross-sectoral, and interdisciplinary transformations that will not happen through working in existing silos.[27]

33. There are examples of boundary theory working in practice from the three case studies. In Indonesia, the PRTR scheme provided a common framework for policymakers and technical professionals from three ministries to begin to work together with the OECD and the Government of Japan to establish a PRTR in Indonesia. In Kazakhstan, a broader workshop agenda that considered a number of schemes and toolkits relating to chemicals and health

[25] Star, S., & Griesemer, J. (1989). "Institutional Ecology, 'Translations' and Boundary Objects: Amateurs and Professionals in Berkeley's Museum of Vertebrate Zoology, 1907-39". Social Studies of Science, 19 (3): 387–420, p 393
[26] Wenger, Etienne (1998). Communities of Practice: Learning, Meaning, and Identity. Cambridge: Cambridge University Press.
[27] https://www.stockholmresilience.org/research/research-news/2019-09-13-the-abcs-of-the-sdgs.html

brought together a number of disciplines including medicine, epidemiology, radiology, environmental health, ecology and law. In Trinidad and Tobago, the FAO pesticide registration toolkit clearly served as a basis for bringing together an incipient community of pesticide registrars, researchers and technical professionals from agricultural, health and environmental sectors in the Caribbean to share and integrate learning across their respective countries.

Finding 6: The Toolbox project will likely be highly relevant to whatever replaces SAICM after 2020. The beyond 2020 process that is developing the replacement for SAICM has identified five strategic objectives, of which the Toolbox project will contribute to three, in particular the strategy to expound the importance of sound management of chemicals and to take actions to bring it about.

34. In September/October 2015, countries and other SAICM stakeholders agreed to an intersessional process to consider SAICM's future beyond its scheduled end in 2020. A decision on SAICM's future will be made at the fifth International Conference on Chemicals Management, to be held in Bonn, Germany in October 2020. In December 2018, the co-chairs of the intercessional process developed recommendations on SAICM beyond 2020. This document identified five strategic objectives:

    A. Measures are taken to minimize or prevent harm from chemicals throughout their lifecycle and waste, including the development and implementation of national chemicals management systems in all countries.
    B. Knowledge, data, information, and awareness generated, available and accessible to all to enable informed decisions.
    C. Issues of global concern are identified, prioritized, and addressed.
    D. Benefits are maximized and risks prevented through innovative solutions and forward-thinking.
    E. The importance of sound management of chemicals and waste to achieve sustainable development is recognized by all, actions are accelerated, and necessary partnerships established.[28]

35. While use of the Toolbox will contribute to strategic objectives A, B & E, a SAICM representative suggested that the Toolbox project will make the greatest contribution to E, specifically to indicator E1 that relates to engagement of a range of stakeholder organizations:

> "The highest levels of stakeholder organizations, including government, industry, civil society and international organizations in all relevant sectors, formally recognize the importance of and commit to action on the sound management of chemicals and waste, and recognize its relevance to sustainable development."[29]

Indicator E4 is also something to which the Toolbox project and IOMC can contribute.

[28] http://www.saicm.org/Portals/12/Documents/meetings/Bureau/ICCM5B6/SAICM-ICCM-5-Bureau-6-3-Co-Chairs-paper.pdf
[29] http://www.saicm.org/Portals/12/Documents/meetings/Bureau/ICCM5B6/SAICM-ICCM-5-Bureau-6-3-Co-Chairs-paper.pdf p. 21

> "Inter and intra-sectoral partnerships, networks and collaborative mechanisms are established to share information, experiences and lessons learned, and to promote coordinated action at the regional and international level."[30]

Contribution to these two indicators will help ensure the Toolbox project remains relevant to sound chemicals management after 2020.

EQ1.3: To what extent is the project aligned with the European Union strategic objectives?

Finding 7: The project is very well aligned with the European Union strategic objectives with respect to chemicals and waste. Evidence of this alignment is that the European Commission played a pivotal role in the establishment of SAICM and was proactive in developing and funding the Toolbox project from its inception. DG Environment is open to consider a fourth phase depending on what the beyond 2020 process decides in the ICCM5 meeting scheduled for 2020.

36. According to a European Commission publication, the EU played a pivotal role in the launch of SAICM in 2006. The SAICM commitment to sound management of chemicals was fundamental in overhauling chemical legislation in the EU since then.[31]

37. The European Commission, through DG Environment, was proactive in the establishment of the Toolbox project from Phase I, reflecting the strategic importance that the Commission places on the sound management of chemicals beyond the EU in developing and economically emerging countries.

38. Part of the DG Environment's contribution to SAICM has been to lend support to the idea that there are eleven basic elements that countries should work on, adopted at ICCM4. The idea was in response to the finding that countries were having difficulties in knowing how best to respond to the 273 possible activities[32] listed in the SAICM Global Plan of Action.[33] The basic elements are:
    A. Legal frameworks that address the life cycle of chemicals and waste.
    B. Relevant enforcement and compliance mechanisms.
    C. Implementation of chemicals and waste-related multilateral environmental agreements, as well as health, labour and other relevant conventions and voluntary mechanisms.
    D. Strong institutional frameworks and coordination mechanisms among relevant stakeholders.
    E. Collection and systems for the transparent sharing of relevant data and information among all relevant stakeholders using a life cycle approach, such as GHS.

[30] http://www.saicm.org/Portals/12/Documents/meetings/Bureau/ICCM5B6/SAICM-ICCM-5-Bureau-6-3-Co-Chairs-paper.pdf p. 21
[31] https://ec.europa.eu/environment/chemicals/reach/pdf/publications/saicm_09.pdf
[32] https://ec.europa.eu/environment/chemicals/reach/pdf/publications/saicm_09.pdf
[33] https://www.who.int/iomc/saicm/global_plan_action.pdf?ua=1

F. Industry participation and defined responsibility across the life cycle, including cost recovery policies and systems as well as the incorporation of sound chemicals management into corporate policies and practices.
G. Inclusion of the sound management of chemicals and waste in national health, labour, social, environment and economic budgeting processes and development plans
H. Chemicals risk assessment and risk reduction using best practices.
I. Strengthened capacity to deal with chemicals accidents, including institutional strengthening for poison centres.
J. Monitoring and assessing the impacts of chemicals on health and the environment.
K. Development and promotion of environmentally sound and safer alternatives.

39. In a document produced in 2016, coordinated by the IOMC, the IOMC Toolbox was identified as having available risk reduction and information sharing tools and best practice information for basic elements A, C & E.[34] The project is working on maintaining its relevance to the 2020 process by working on these entry points. DG Environment is open to consider a fourth phase depending on what the beyond 2020 process decides in the ICCM5 meeting scheduled for 2020.

40. DG Environment is also playing a central role in the intercessional process to continue to work on SAICM objectives after 2020. The Toolbox project is well aligned with this process, see Finding 6. It follows, therefore, that the Toolbox project looks set to remain highly relevant to EU Strategic Objectives beyond 2020.

EQ1.4: Is the project targeting the right users to achieve its objectives?

Finding 8: Over 500 participants have attended Toolbox project workshops. According to the project's inclusive definition of target users, almost all would appear to qualify, which is well above the 70% target in the project logical framework. The final phase II evaluation recommended a much tighter focus on policymakers, while the project document did not. Given findings below, this evaluation supports the broader inclusion of chemical management professionals as well as policymakers in the target group.

41. The project target groups according to the phase III project document are "all policy-makers and professionals with a role in the assessment and management of chemicals with a focus on those in developing countries and countries with economies in transition."[35] The project logical framework sets the target that project workshops and webinars be attended by more than 70% of persons from within the target group. According to the logical framework, this is to be established by analysis of meeting reports.

42. The case studies (Annex A) describe who attended the three respective workshops, based on an analysis of respective workshop participant lists. They reveal that the type of participants varied widely: directors, deputy directors, researchers and other specialists from a variety of government departments dealing with the management of chemicals; registrars, academics,

[34] https://www.who.int/iomc/saicm/OOGimplemTablePartII-AgenciesCompilation_Nov2016.pdf?ua=1
[35] 14b_SIGNED AGREEMENT_767540_ARES(18)10744.pdf Annex 4

representatives from the private sector, legal advisors, and more. Nearly all, i.e., more than 70%, would appear to qualify as coming from the target group.

43. The final evaluation of phase II of the project recommended that phase III "focus explicitly – and possibly exclusively – on engaging and supporting the primary target audience of policymakers."[36] However, the phase III project document broadened the focus to include all policy-makers and professionals. Project implementation has followed the latter, as many of the workshop participants were "professionals with a role in the assessment and management of chemicals" not only "policymakers."

    Finding 9: The fact that the new platform for the Toolbox has not been ready during the first half of the phase has allowed for a new impact pathway to emerge relating to workshop participants learning from each other's experience, in particular learning between counterparts in different countries in the same region. This has made workshops relevant to more than just policymakers (the main target group recommended in the phase II evaluation).

44. Several respondents have said that the content of the workshops has been different to what was envisaged because the Toolbox platform was not ready. This necessarily made the workshops less focussed on training people how to use the toolbox, leaving space and flexibility to address other issues.[37] The regional workshops were supposed to offer an opportunity to learn from national workshops and subsequent implementation of IOMC tools. In practice, these workshops were more about participants engaging with each other around common issues and less about learning how to use the Toolbox or any particular tool. This led to a blurring of the distinction between national and regional workshops as workshop organizers realized that participants had much to learn from their counterparts in other, similar countries. It also meant that the workshops became relevant to a broader group of people -- not just those who would be expected to use the Toolbox in policymaking.

EQ1.5: How relevant are the workshops and the toolbox and its contents to intended users' specific country needs? Have changes enacted in Phase III made it more relevant?

Finding 10: Workshops proved to be relevant to participants' needs, both to develop their technical capacities and to establish links and learn from their counterparts, particularly in other countries in their region.

45. The final evaluation of the phase II project was critical of the Toolbox platform, saying that it was cumbersome, not intuitive, not user friendly, unpopular with target users and ultimately, fundamentally flawed.[38] In response, phase III of the project developed a new platform. OECD took responsibility for the work and subcontracted it to a private sector company. The third PMG meeting in March 2019 reported that the new Toolbox would go live on 15 April 2019

[36] Ibid, p. 39
[37] Respondent 7
[38] Iomc-evaluation-finalreport_rc2.pdf p. 37

and the offline version in the first week of July 2019.[39] As of January 2020 the toolbox was still not live. Respondents have described a number of issues that have led to a long delay, including: underestimating the work required in undertaking a complete rebuild; staff turnover; and differences in work culture between OECD and the sub-contractor. The PMG expects the new platform to be fully online and functional in the summer at the earliest.

46. When this mid-term evaluation was envisaged, the expectation was that it could ask users about the experience using the new platform and answer the question as to whether it better meets their needs. This was not possible. What is possible to evaluate is the relevance or otherwise of the workshops and the content of the toolbox.

47. Workshop participants were asked about the relevance of the workshop they attended. The results were positive, with the great majority agreeing that:
    - They became more familiar with the UN agency guidance material on chemical management.
    - The workshop responded to their learning needs; and
    - The workshop provided participants with the possibility to connect with each other.

48. The lowest rating (although still high) was on whether the workshop allowed participants to share knowledge with each other. This coincides with a fairly common comment that participants wanted the workshops to be more participatory.

49. In terms of what participants found most useful, of those who responded almost the same number mentioned connections or learning from other participants (n=13) as those who mentioned content (n=14). In three workshops in three regions, participants mentioned the value of learning from counterparts from their region because they share a similar culture and face similar issues. In regional workshop held in Kazakhstan, one respondent said participants were able to learn much more from colleagues than from internationally respected experts that came from a different continent.[40]

50. The response to the questionnaire suggests that the workshops and the Toolbox content have been able to respond to specific country needs. According to one member of the PMG,[41] countries were selected on the basis that the workshops and some pre-existing government-supported chemical and waste management initiative. Countries were also selected to provide a broad geographic spread and to focus on countries that had received comparatively less support from IOMC participating organizations than others.

51. Most of the members of the PMG interviewed by the evaluation team said that workshops were having important networking outcomes alongside benefit participants gained from the training provided. They supported the idea that the project's espoused theory of change should also highlight the 'impact by networking' impact pathway.

Finding 11: The changes made to the Toolbox platform as well as the addition of new entry points and tools will very likely make it more relevant to users. This will need to

[39] IOMC Toolbox 3_Final notes 3rd PMG meeting (1) 12 March 2019.pdf
[40] Respondent 17
[41] Respondent 9

be tested once the Toolbox goes live. The quality and consistency of workshops need improvement in particular with respect to needs analysis, learning objectives and a detailed methodology.

52. A main area of work in Phase III has been the upgrading of the Toolbox platform. A usability study was carried out to guide the changes made. The main changes made compared to the original platform are as follows:

    - Improved look and feel of user interface
    - Search and filter functions included
    - News platform available for sharing updates with users.
    - Easier access to content (management schemes, toolkits) by removing unnecessary navigation steps to allow the user to access the content in a maximum of three clicks.
    - Direct login rather than through OECD login page
    - Introductory and tutorial YouTube videos open within the IOMC webpage and open there, although they are uploaded on YouTube platform.
    - Browser's return button now usable to return to a previous section of the toolbox.
    - More powerful and faster
    - Widened group of potential users (policymakers and technical professionals involved in the sound management of chemicals).
    - Case studies included, e.g. Case study on the management of mercury and mercury-containing products and waste, UNDP 2016.
    - Increased number of resources available to users.

53. The changes made are consistent with the recommendations of the final evaluation of Phase II. One recommendation that requires further work is the development of a long-term hosting strategy for the toolbox and content. The PMG is discussing the possibility of a fourth phase given that the third phase has been delayed as a result of the activation of the new Toolbox platform.

54. According to the phase III's first progress report, progress has been made on adding entry points and developing and adding a number of tools to the Toolbox. This entry point work includes:
    - Initial discussions to link the Toolbox to the InforMEA (https://www.informea.org/en).
    - Establishing entry points within the overall orientation and guidance (OOG)[42] for three of the eleven basic elements for implementing SAICM.
    - Development of an entry point aimed at the health sector, including the identification of 50 action items in the WHO Road Map to enhance health sector involvement in SAICM, for example see "Infographics on public health, environment and social determinants of health (https://www.who.int/phe/infographics/en/).

      Work is continuing to add tools on:
    - Pesticide registration criteria to add to FAO's pesticide registration toolkit
    - Alternatives to HHPs

[42] The aim of the overall orientation and guidance is to provide direction and identify approaches for all SAICM stakeholders toward facilitating the achievement of the 2020 goal of sound chemicals management, including concrete elements required at the national level to achieve sound chemicals management (http://www.saicm.org/Portals/12/Documents/OOG%20document%20English.pdf p. 2)

- Assessment of pesticides for soil organisms
- Poison centres
- Green chemistry

55. These additions and changes are designed to make the Toolbox more relevant to a broader set of users, not just to policymakers. This should be tested using web statistics once the Toolbox goes live, as part of the final evaluation of Phase III.

56. The evaluation reviewed the project's training guidelines and noted the absence of needs analysis, learning objectives and a detailed methodology. The guidelines made reference to a suggested training approach and use of evaluation forms, report templates and PowerPoint presentations, but provides little detail on: defining learning objectives; on application objectives; and, how to undertake a needs assessment or assessments of learning. While the guidelines do not include any mention of needs assessments, countries have positively reported that they have been consulted to identify needs and priorities to define themes of workshops. The evaluation also noted that the electronic evaluation survey on the platform SurveyMonkey is not included in the current guidelines. Furthermore, while training reports and results from self-evaluations are collected by one participating organisation, the evaluation could not find any use or aggregation of the results to inform the implementation of future events.

57. The evaluation team found a lack of consistency on how the workshops were implemented, with a number of workshops falling short of quality standards[43] for learning events. Shortfalls included a lack of participants' needs assessments before the workshops, no inclusion of learning or application objectives in the agenda and no or partial participants' evaluation of completed workshops. While an online tool has been developed for the latter, response rate has been low and there is little evidence of anything being done with the feedback. The project has developed training guidelines[44] which provides little guidance on how to rectify the shortfalls.

EQ2: To what extent is the project producing planned outputs and making progress towards attainment of outcomes?

[43] QAF_revised_13 April 2017_with annexes.pdf The UNITAR Quality Assurance Framework for example includes the following Standards: 1: Learning Needs; Standard 2: Target Audience; Standard 3: Event Nomenclature and Title; Standard 4: Learning Objectives; Standard 5: Content and Structure; Standard 6: Methodology; Standard 7: Learning/Instructional Material; Standard 8: Training Expertise/Qualifications; Standard 9: Event Announcement Information; Standard 10: Evaluation and Follow-up. Further information can be found here: https://www.unitar.org/sites/default/files/uploads/pprs/quality_assurance_framework_revised_april_2017_with_annexes.pdf

[44] Training strategy_IOMC Toolbox P3 PMG03.12 Draft training guidelines (11 March 2019).docx

EQ 2.1 To what extent is the project coordination / financial management and the organizational structure supporting or hindering the delivery of project results?

Finding 12: The Toolbox project is a unique example of inter-agency collaboration from which much can be learned. This is an important and somewhat unexpected project result. The general sense is that projects that attempt intra- and inter-agency collaboration face much greater bureaucracy relating to accountability for budgets than those that do not collaborate, and there is little that can be done about this at project level. Changes to the way the project is financially managed or structured organizationally will not make much difference.

58. As stated above, the Toolbox project is the only example of the IOMC agencies working together on an IOMC project. Normally, UN agencies work on their own chemicals' management projects: it is highly unusual to have seven UN agencies working together on the same project. Finding 2 is that there is a unique opportunity to learn lessons about inter-agency collaboration on chemical management. This is an important project result, that is only possible because of the way the project is organized.

59. The collaborative nature of the project has also made administration difficult. One particular source of aggravation has come from the funding rule that 70% of the overall budget must be spent before the next tranche payment can be made. Slow spending by some partners has delayed payment for others, causing difficulties. For example, FAO has reduced its program in 2019 for training pesticide registrars as a result.

60. One member of the PMG thought that the difficulties that UN agencies face when trying to collaborate are such serious impediments to implementation that he was prepared to go on the record to describe the problem. He blamed difficulty in arranging for inter-agency collaboration on an absence of trust that derives from rigid accountability rules designed to prevent corruption. These rules allow for an administrator to refer a collaborative arrangement to the legal department which can cause delays of six months to a year. His experience was of having to outsmart his administration to work collaboratively. He thought that the issue raised serious questions about the UN system being fit for purpose to tackle SDGs that require working in an integrated manner. He said that most people who have experience with multi-agency collaboration wish never to repeat the experience.

61. Respondents were asked if alternative administrative and organizational structures could make implementation easier and quicker. The answer was to find ways to reduce bureaucracy but there were no practical suggestions on how to do so. The general sense was that this would require changes at the highest administrative levels in both the UN and European Commission, and this is not something that one project could bring about.

EQ 2.2 To what extent are the assumptions underpinning the project's theory of change proving valid. Do the causal assumptions require changes to better reflect the outcomes that are starting to emerge?

Finding 13: The Phase III logical framework has been reformulated in line with Phase II evaluation recommendation to include outcomes. Most of the project's causal assumptions linking project outputs to outcomes to impact have not proven themselves fully valid, either because there has been insufficient time to achieve them, or because the causal logic has proven faulty. The analysis of the project's theory of

change against progress made helps understand the project's impact pathway as essentially catalytic and nonlinear.

62. The project's theory of change and assumptions underpinning it are shown in Figure 1 and
63. Table ***1***, respectively. The theory of change was developed from the Phase III logical framework and descriptions provided in the project document of various parts of the project's results chain.

64. The evaluation team note that changes have been made to the phase III project logic consistent with the phase II evaluation recommendation that the PMG should reformulate the results framework to include outcomes. The project objective/impact is that "countries implement SAICM" which the evaluation team interprets to mean "contribution to sound management of chemicals in countries that have benefited from capacity building activities of the IOMC Toolbox project.

65. The analysis of the project's theory of change against actual progress made helps understand that the project's overall impact pathway is essentially catalytic and nonlinear. The project is working to connect people to each other and to appropriate schemes, toolkits, and tools. These interactions can lead to new patterns of interaction (e.g., pesticide registrars helping each other in their work through communication via a pesticide discussion group on the FAO Toolkit or WhatsApp) that can catalyse big changes. However, these changes can be difficult to predict, attribute and therefore monitor and measure. More workshops and promotion do not necessarily lead to more impact, particularly if coherence and quality of process is not taken into account.

Analysis of the project's theory of change

The following analysis examines in turn progress made against each causal assumption in the project's theory of change.

Assumption a: Workshop topics chosen are relevant to the country/region and motivate participants to attend

ToC Finding a: Workshop topics were chosen on the basis of linking up to on-going initiatives and addressing the national or regional priority issues. They were generally of interest to organizations and individuals invited to them. Embedding Toolbox project workshops as part of on-going initiatives makes sense as the project has few resources to support follow up actions.

66. Topics were chosen through a somewhat top-down process in which participating organizations indicated the countries and/or regions in which they would be prepared to hold a workshop. These were sometimes locations where the participating organization already had similar on-going work, e.g. WHO opting to hold a regional workshop in Kazakhstan together with a second WHO project working on similar issues. This enabled both projects to hold a larger, longer, and more in-depth workshop than either could have staged on its own.

67. OECD volunteered to hold a national workshop in Indonesia because Indonesia is a key Partner to the Organization, and one of the hallmarks of an emerged economy is having PRTR

in place. Training on PRTR was requested by the Indonesian government prior to the workshop and webinars because key staff had not worked on it before. The Basel Convention Regional Centre for Southeast Asia and Stockholm Convention regional centre was asked to host the workshop: the government has not started working on PRTR, however. Nevertheless, the workshop was of interest to those who attended, and served to provide some impetus to starting to establish a PRTR in Indonesia or at least to understand the benefits of and necessary actions to establish a PRTR.

68. In the Trinidad and Tobago case, FAO used Toolbox project funding, together with funding from an FAO-GEF project to train pesticide registrars and technicians in the region. This is part of a broader FAO initiative to train registrars and technicians in many countries in 2018 and 2019.

69. In the evaluation team's view, it makes sense for Toolbox project workshops to be planned as part of on-going initiatives because apart from a final webinar, the Toolbox project has no means by which to support follow up actions.

70. In the online survey, most participants that responded said they attended the workshops because of their position and responsibilities. Examples of reasons given were:
    - Working on chemicals-related research.
    - I am responsible for PRTR development in my country.
    - I am working as a Director of Hazardous Materials Department in the Ministry of Environment.

71. The evaluation team assumes that most participants were asked to go as part of their jobs, so it is hard to know what their motivation levels were before attending. However, analysis of workshop evaluations indicates that 88% of those who responded (n=42) agreed that what they learned was important for the success of their job.

    Assumption b. Participants who are responsible for developing and implementing chemical management systems are selected

    ToC Finding b: The assumption is valid - see Finding 8.

    Assumption c: Improvements to the toolbox, the addition of new tools and the upgraded training strategy/guidelines make it easier and more attractive for a broader set of participants to use the toolbox and toolkits

    ToC Finding c: A broader set of participants have attended project workshops in response to the topics chosen for the workshops and the agendas developed.

72. As discussed under **Finding 9**, a broader set of participants have attended phase III workshops than indicated under the upgraded training strategy recommended by the phase II evaluation, in response to the topics chosen for the workshops and the agendas developed

    Assumption d: Outcomes and learning from country-level workshops informs the design of sub regional workshops

ToC Finding d: The assumption that significant learning about the use of the tools and the Toolbox would flow from national to regional workshops remains to be proven.

73. This assumption has turned out to be too linear: [45] there has not been a common body of learning about the use of the tools and the Toolbox from the country-level workshops to flow into the regional ones. In the absence of the opportunity to learn about the live Toolbox, participants in regional workshops have been interested in learning about specific tools and toolkits as well as from learning from the general experience of their counterparts in other countries.

Assumption e: Workshops and webinars build capacity in a context in which there is sufficient opportunity and motivation to allow for greater use of toolbox and contents

ToC Finding e: For the 48% of respondents who answered the online survey of workshop participants, all said they used it for their jobs. Some who did not use the Toolbox said that the workshop was too short, and there was insufficient follow-up, to make significant changes to their work practice.

74. In theory, people need to be motivated, have the opportunity and technical capacity if they are to change their practice.[46] About half of workshop respondents surveyed online that answered said that they had been able to use the knowledge, skills or tools they acquired in the workshops (n=23).

75. Participants were asked what had supported use after the workshops. One common answer was that the toolbox and content was relevant and useful to their job. For example, one participant said that it had helped with the monitoring of the importation and disposal of industrial chemicals, while another said it had helped to develop chemical management guidelines. In Phase II and III, the greatest number of hits to the original online platform has been when a country has started to work on a chemical management scheme. For example, the platform received a spike in activity from Brazil when the country began developing an industrial chemical management scheme. The Brazilian users had been told about the Toolbox by Colombian counterparts: they had not had direct contact with project staff themselves.[47]

76. Another answer was that participants had not been able to use what they had learned, citing that one relatively short workshop with little or no follow up was not enough to make a difference to how they implement their work.[48]

Assumption f: Promotion at international events results in participants taking the Toolbox back to their respective countries and using it

[45] Respondent 9
[46] Mayne J. The COM-B Theory of Change Model. Working Paper, www.researchgate.net/publication/323868561_The_COMB_ToC_Model 4 (accessed 11 December 2018); 2018.
[47] Respondent 22
[48] Respondent 9

ToC Finding f: The project has not yet followed up on whether the current rather low-key promotion of the Toolbox is leading to uptake. The evaluation team questions whether there should be any promotion before the new toolbox platform is released.

77. The Toolbox has been presented at the Conference of the Parties for the Basel, Rotterdam, Stockholm and Minamata conventions (see Finding 18), as well as at other meetings[49]. The project has not followed up on whether there has been any use resulting from the presentations. The evaluation team attended the Minamata COP in Geneva at the end of November 2019 and observed that promotion of the Toolbox involved showing a promotional video on a loop at a stall, together with providing some handouts. This rather low-key promotion is in keeping with the recommendation made by the phase II final evaluation that "high profile promotion – particularly to large, multi-disciplinary audiences – be avoided until the toolbox's technical flaws have been resolved, or a new system has been adopted."[50] Indeed, given that the new system is not yet online, this evaluation would question whether there should be any promotion at COPs or to other large, multi-disciplinary audiences, even of a low profile.

Assumption g: Workshops work as platforms that provide opportunities for collaboration and networking among participants

ToC Finding g: Workshops did allow participants to connect and learn from their counterparts

78. Connecting and learning from counterparts was valued almost as much as the technical content of workshops (see Finding 10). The opportunity to learn from how colleagues in the region who were tackling similar issues was particularly valued. There is some evidence that participants remained in contact and worked together on technical and networking issues after the workshops. For example, Ukraine and Kazakhstan participants invited Belarus experts they met at the workshop in Kazakhstan to work with them on GHS after the workshop. A respondent from Jordan said she had maintained contact with her Egyptian counterpart after a workshop in Egypt, and this friendship was contributing to the establishment of an emerging network of poison centres in the region. In general, though, it is hard for any evaluation to know the extent of such connections, as those concerned may not wish to see them announced in an evaluation report. It is the nature of social networks to remain somewhat hidden.[51]

Assumption h. Greater sharing of experience and networking leads to greater and better use of the Toolbox and contents, and vice versa

[49] The meeting of the Executive Programme on Integrated Chemical Management in the United Kingdom and the WHO/EURO workshop to enhance health sector role in the management of chemicals in Belarus.

[50] Iomc-evaluation-finalreport_rc2.pdf p. 39

[51] See Cross, R. L., & Parker, A. (2004). The hidden power of social networks: Understanding how work really gets done in organizations. Harvard Business Press.

ToC Finding h: It is too early to say if greater sharing of experience and networking is leading to greater and better use of the Toolbox. Evidence will only emerge sometime after the new Toolbox platform is up and running.

79. A recommendation of the phase II final evaluation was that phase III establish a toolbox-centred community of practice to support networking and peer-to-peer learning between policymakers involved in chemical management. This has not yet happened because the new toolbox platform is not yet ready.

80. Experience from the workshops carried out so far, in particular workshops with regional representation, is that there may well be a stronger unmet need for regional communities of practice focused on specific management schemes and toolkits. The need was at least partially met in the Trinidad and Tobago workshop in which participants agreed to set up a WhatsApp group that apparently remains functional (as of January 2020, see case study in Annex A). Members of the group exchange press items about chemical-related issues and ask each other advice on, for example, a new chemical for registration.

81. Without some form of project support to peer-to-peer learning and record keeping, it is difficult for any evaluation to assess the extent to which workshops have triggered significant learning and facilitated useful connections, and whether these continue after workshops have finished.

82. In theory, there is potential for positive feedback in which recognition and use of the toolbox grows as it helps countries to better tackle chemical management issues, leading to more use, and so on. Evidence as to whether this mechanism is working will only emerge sometime after the new toolbox platform is up and running.

<u>Assumption i: Developing chemical management strategies and resolving problems helps SAICM achieve its objective in developing and emerging countries.</u>

ToC Finding i: While plausible, there is a significant attribution gap between the project's outcome and impact as laid out in the project's theory of change. The gap will make difficult any future impact assessment that attempts to attribute improvements in countries' management of chemicals to project interventions.

83. The causal logic that the project will contribute to SAICM's objective through developing chemical management strategies and resolving issues is plausible. SAICM's objective is the achievement of the sound management of chemicals throughout their life cycle so that by the year 2020, chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health. The chemical management strategies and toolkits in the Toolbox are all intended to contribute to the sound management of chemicals throughout their respective lifecycles. While plausible, an impact assessment that quantifies the project's contribution would be difficult. First it would have to demonstrate if and how project results have contributed to sound chemical management within each country that has used them at different stages in the life cycles of different chemical types, and then quantify that contribution. Also, SAICM will also struggle to quantify its own contribution to achieving its objective, which has not been fully achieved.

EQ 2.3: To what extent and how are intended users benefiting from the workshops, the Toolbox, and its content? Is the use helping them to address national chemical management challenges?

Finding 14: Intended Toolbox users are benefiting from the workshops through making professional connections and perceived gains in technical capacity. Those exposed to the Toolbox have gained less than was hoped from its online use because the new version of the Toolbox platform has not been ready. The original version suffered a drop on average monthly visits of one third from phase II to phase III.

84. As discussed above, users said that the main benefit derived from the workshops was almost equally split between gaining technical capacity and gaining professional connections. With the latter, Finding 9 indicates that participants found it particularly useful to connect with and learn from counterparts from countries in the same region that were facing similar issues.

    - In terms of perceived gains in technical capacity, participants who responded to the online survey said they found different aspects of the training useful, including:
    - The registration toolkit in guiding decisions related to the registration of pesticides.
    - The road map for chemicals and how to develop our own for 2020 to 2030.
    - Case studies.
    - Aspects to consider when structuring an industrial chemical program according to the resources one can count on.

    Changes at work observed by survey respondents include:

    - (the toolkit) has supported the elaboration of normative and legal instruments and standards (3),
    - how to deal with chemicals transport and accidents (2),
    - using the pesticide toolkit has reduced time in registering pesticides and increased reliability (2), amongst others.
    - The evaluation team assumes that participants in the longer five-day FAO pesticide registration workshops gained most because the workshops focused on a single toolkit and one dimension of the agricultural chemical life cycle and more time for exercises.

85. The new Toolbox platform was not available online for nearly two thirds of the duration of phase III. The original version was available, however. Web statistics show that it received a low but relatively consistent stream of traffic -- an average of 191 hits per month with a maximum of 330 and a minimum of 137. The target countries with the greatest number of unique visits were Peru (77), Colombia (69), Sri Lanka (42) and Indonesia (30), all countries in which workshops have been held. The phase II evaluation concluded that the trend in the average daily number of hits on the Toolbox was not encouraging, at about 10 per day, or 300 per month.[52] The long-term trend fell in phase II to about 200 per month, a fall of more than one third.

86. A pop-up survey available to visitors to the original Toolbox platform asked them if they were visiting to find specific information or to know more about the toolbox. About one third said they wanted to find specific information (n=127). Two thirds said they found the information

[52] Iomc-evaluation-finalreport_rc2.pdf p. 32

they were looking for. There were roughly the same number of respondents said that the Toolbox was difficult to navigate compared to those who said it was easy.

87. During phase II, the final project evaluation identified spikes in online use corresponding to training and promotional events, such as toolbox and toolkit workshops held in Geneva and Vienna in April 2016.[53] The fact that there were no spikes during phase III is confirmation that toolbox demonstrations given during phase III workshops were off-line.

Finding 15: The use of the Toolbox schemes and toolkits have helped address national chemical challenges in phase II and phase III, in the development of national systems of chemical regulation and the registration of pesticides.

88. Several respondents said that the Toolbox was most useful when chemical management policy and decision makers were asked to undertake a specific task, for example to develop a system for the national regulation of chemicals in Colombia, or to support registrars and technical professionals in evaluation and authorization of pesticides. They said that the Toolbox is useful because it collates relevant guidance material provided by key multilateral agencies, saving a lot of time, and providing reassurance that the guidance being used is both necessary and sufficient. Colombian policy and decision-makers recommended the Toolbox to their Brazilian counterparts on the basis of it working well in the Colombian context.[54] FAO has carried out six capacity development national and regional workshops under the auspices of the IOMC Toolbox project between 2018 and 2019, covering 29 countries.

Finding 16: SAICM began tracking the use of the Toolbox in the period 2014-2016. Given this, it makes more sense that the project target is to increase use of the Toolbox rather than increase use of IOMC tools more generally, particularly as the two most used tools, are not part of the Toolbox. Even still, the indicator is problematic because of low response rate to the online questionnaire SAICM uses to monitor progress and because the indicator does not measure qualitative outcomes such as greater connectivity between chemical management professionals.

89. The main project target is a 10-15% average increase of stakeholders using selected IOMC tools during 2017-2020, as measured by SAICM progress monitoring and reported in tri-annual progress reports. Results exist for the period 2013 to 2016 which are a better baseline than the 2011-2013 results indicated in the project's logical framework.

90. SAICM monitoring data comes from repeating an online survey[55] covering 20 indicators of which one is the use of IOMC tools. Respondents are asked: "Which of the following tools or guidance materials for risk reduction published by the IOMC are used by your government or organization?" Respondents were presented with a list of 13 tools of which the IOMC Toolbox was one.

[53] Iomc-evaluation-finalreport_rc2.pdf p. 31
[54] Respondent 22
[55] https://extranet.who.int/dataform/upload/surveys/911796/files/Third%20SAICM%20Progress%20Report%202014-2016-April27.pdf

91. For the 2014-2016 period,[56] the online survey was open for the second half of 2017. During this time, 54 governments responded. Only 13 were developing countries or countries with economies in transition (the target of this project) out of a total of about 150. About one quarter of respondents indicated that government or organization had used the IOMC Toolbox. The most widely used tools were OECD guidelines for testing of chemicals (66%), and OECD eChem portal (65%), neither of which are included in the IOMC Toolbox. It makes more sense that the main project impact target should be "10-15% average increase in the number of countries and/or organizations using the IOMC Toolbox." Even this will have limited meaning given the low response rate to the SAIM online questionnaire used for monitoring, and the fact that the indicator does not measure improvement in the quality of use of the content of the Toolbox, problem solving and networking outcomes.

92. The SAICM Quick Start Programme has been SAICM's main implementation mechanism (see Finding 3). An impact evaluation of the QSP carried out in 2015 made no mention of the Toolbox.[57]

93. It is hard for the project to gather usage data other than through online surveys as there is little systematic follow up of people who attend project webinars and workshops. A survey carried out for this evaluation obtained a response rate of just 16 % despite sending 2 follow up requests. Of those who did respond (n=42), nearly half said they had made a concrete change as a result of the workshop. These included changes to:
    - Dealing with chemical accidents
    - The control of chemical substances in customs
    - Elaboration of legal instruments
    - Evaluation of new pesticides
    - Registration of highly hazardous chemicals
    - Preparation of chemical management guidelines in accident prevention and transport of industrial chemicals

94. The problem with online surveys is that it is hard to gauge the significance or value of reported changes without understanding them in context. The evaluation team had the resources to interview just three respondents to this end, too low a number to make any generalizations from the deeper insight this provided. This is a general issue with qualitative research – it can be very expensive.

Finding 17: Expected Toolbox usage rate is low compared to other chemical portals. Driving traffic to the Toolbox platform through negotiating that other chemical and waste management portals link to the Toolbox, and vice versa, is a promising strategy.

95. The evaluation team asked respondents as to their expectations as to the number of users that should be visiting the Toolbox platform. While no one provided definite numbers, all thought the target group is small compared to portals such as OECD's eChem Portal (accessed 830,000 times in 2014),[58] limited to those working on sound chemical management.

[56] Same as above
[57] http://www.saicm.org/Portals/12/Documents/QSP/QSP%20Impact%20Evaluation%20Report.pdf
[58] http://sdg.iisd.org/commentary/guest-articles/iomc-reflects-on-its-first-20-years-and-highlights-20-achievements/

Respondents said that they saw the Toolbox platform as one you would visit to find the necessary documents, after which you access them directly without going back to the platform. In other words, they indicated that the project should not expect large numbers of repeat visits.

96. The evaluation team asked respondents how traffic to the Toolbox could be increased. One respondent thought it would be worthwhile for the eChem Portal to push people towards the Toolbox platform, once legislative information is added to the eChemPortal in the next two or three years. The PMG is discussing with UNEP to link the Toolbox to the InforMEA portal that provides people with information about multilateral environmental agreements (MEAs). Under chemicals and waste, the portal provides information on the regional and global treaties and protocols, such as the Basel, Rotterdam, and Stockholm conventions. The PMG consider the Toolbox and InforMEA complementary to each other, with the Toolbox leading interested people to the available technical information for the implementation of the MEAs.[59]

EQ 2.4 Is the project reaching its intended users.

Finding 18: The project is targeting and reaching intended users. It has exceeded the number of users it intended to reach through workshops and (538 out of 300). The proportion of regional workshops is higher than was indicated in the logical framework, and some national workshops have included regional actors. The project is also ahead of target with respect to reaching people through promotional activities (more than 1600 out of 2000). The project is on schedule on webinars (170 out of 300).

97. The project has been able to target a high proportion (>70%) of intended users (see Finding 6).

98. The project has a target to carry out 20 workshops for 300 participants. As of November 2019, the project has carried out 14 workshops for 538 people, as described in

99.

100.

101. **Table 3**.

102. A trend is emerging of holding more regional workshops than anticipated in the logical framework. Of the 14 workshops held, seven have been national workshops and five (sub) regional. Two of the national workshops (Indonesia and Trinidad and Tobago) had a strong

[59] IOMC Toolbox P3 - 1st narrative progress report 12 Dec 2019.docx p. 5

(sub) regional participation. WHO invited participants from the poison control centre in Jordan to attend the workshop in Egypt to help strengthen regional ties between poison control centres.[60]

103. The project also has a target to carry out 20 webinars, also for 500 people. As of November 2019, the project has carried out nine webinars. The project's mid-term progress report cites that 175 participants were trained in five webinars.[61] Five webinars were organized by OECD on the toolbox and several management schemes. UNITAR organized three webinars for Indonesia and one for Sri Lanka.[62] The UNITAR webinars were to help prepare for workshops and attended by many of the same people.

104. The project has a third target to promote the Toolbox to 2000 people at large multilateral meetings. The project promoted the Toolbox to 1,600 participants in meetings for the Conference of the Parties for the Basel, Rotterdam, and Stockholm conventions. This is despite the recommendation made in the phase II final evaluation that "high-profile promotion – particularly to large, multi-disciplinary audiences – be avoided until the Toolbox's technical flaws have been resolved, or a new system has been adopted."[63] Other presentations have been made to smaller audiences, such as to the Executive Programme for the Integrated Management of Chemicals.

Table 3: Workshops carried out during the first half of Phase III

[60] Respondent 25
[61] IOMC Toolbox P3 - 1st narrative progress report 12 Dec 2019.docx p. 3
[62] IOMC Toolbox 3_Draft notes 4th Joint PMG meeting 12 November 2019 (1).pdf
[63] Iomc-evaluation-finalreport_rc2.pdf p.39

Agencies (lead first)	Workshop topic	Location	Other countries	Workshop type	No. of ppts
FAO	Pesticides	Tunisia	Maghreb Countries (Algeria, Morocco)	Regional	20
FAO	Pesticides	Uruguay	South American/CONSAVE Countries: Argentina, Brazil, Bolivia, Chile, Paraguay	Regional	19
FAO	Pesticides	Peru	South America/Andean Countries: Bolivia, Colombia, Ecuador and four staff from the Secretariat of the Comunidad Andina.	Regional	30
FAO	Pesticides	Moldova	European and Central Asian Countries: Armenia, Azerbaijan, Belarus, Kyrgyzstan, Tajikistan, Ukraine and Uzbekistan	Regional	60[64]
UNITAR	Industrial chemicals	Sierra Leone		National	not available[65]
FAO	Pesticides	Rwanda		National	18
WHO, OECD	Health and Chemicals	Egypt	Jordan	National	37
FAO	Pesticides	Trinidad and Tobago	Trinidad and Tobago, involving neighbouring countries	National & Regional	15
WHO, UNITAR	Health and Chemicals	Kazakhstan	European and Central Asian Countries	Regional	87
UNIDO, UNITAR, ILO	South American Countries	Peru	Chile, Bolivia, Uruguay, Ecuador, Paraguay, Argentina, Columbia and Brazil	Regional	67
WHO	Health and Chemicals	Mali		National	36
UNTIAR, UNIDO, OECD, WHO	Industrial Chemicals	Sri Lanka			55
UNITAR, OECD, UNECE	Industrial Chemicals	Indonesia	Indonesia, Thailand, Japan, Vietnam, Malaysia, USA	National & regional	41
UNITAR, ILO, UNIDO, OECD, WHO	Industrial Chemicals	Colombia		National	53

105. The project is ahead of target having held 14 out of 20 workshops up until November 2019. The workshops were attended by 538 participants, 238 more than the target with six more workshops still to be held.

[64] Project Management highlighted the promotional nature of this workshop, however.
[65] Ibid.

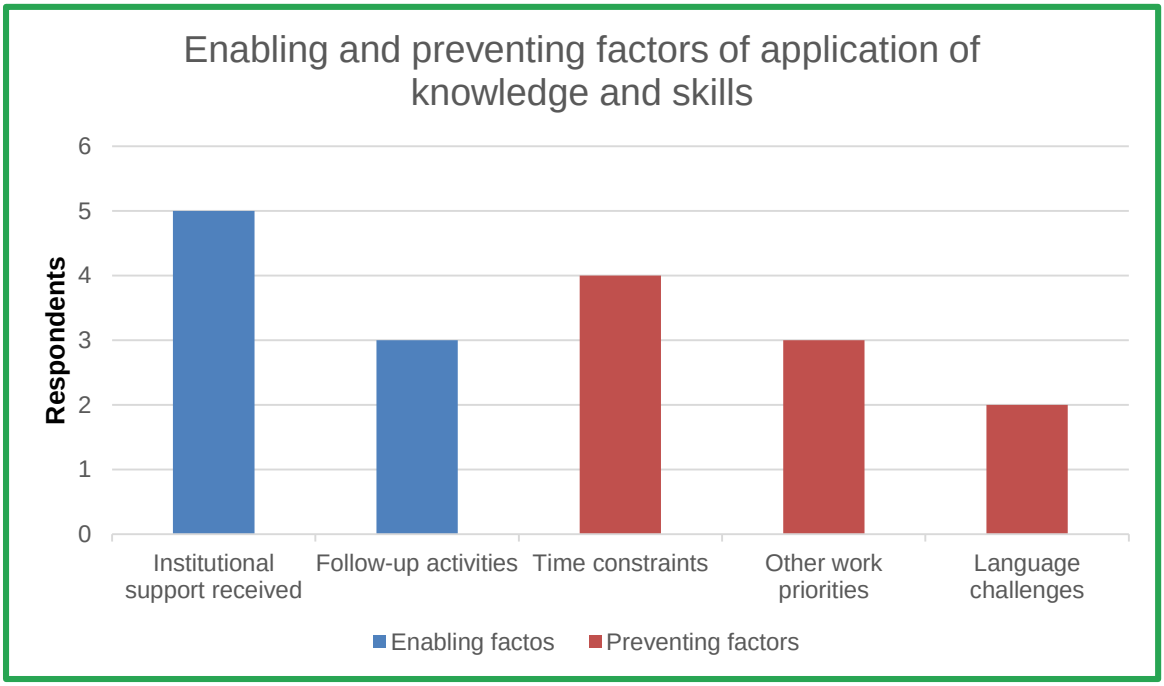
106. In the online survey[66] of workshop participants 62% of respondents agreed or strongly agreed that they were able to apply knowledge or skills from the workshop to their work. This is low compared to UNITAR's overall rate in 2018 of 82%. Male respondents slightly show more extreme responses, being both more positive and more negative in their responses with regards to using knowledge and skills than female respondents. Factors that supported the use of knowledge and skills include:

- Institutional support received (5),
- Follow-up activities (3), amongst others.

Preventing factors include:

- Time constraints (4),
- Other work priorities (3),
- Language challenges (2), amongst others.

Figure 3: Enabling and preventing factors of application of knowledge and skills



Respondents further indicate that they have shared their knowledge from the workshops with colleagues or students, sometimes by organising internal training sessions or planning to organise internal training in the future.

EQ 2.5 To what extent are the Toolbox users sharing their experience with other stakeholders in their region and as such multiply impact beyond single users or countries?

Finding 19: Participants share their experience managing chemicals during Toolbox workshops, but have not been sharing their experience of using the Toolbox. There is

[66] Note that the response rate of the online survey was low (similar to the phase II end-of-project evaluation), despite two staged reminders. Consequently, findings associated with the survey should be treated with caution.

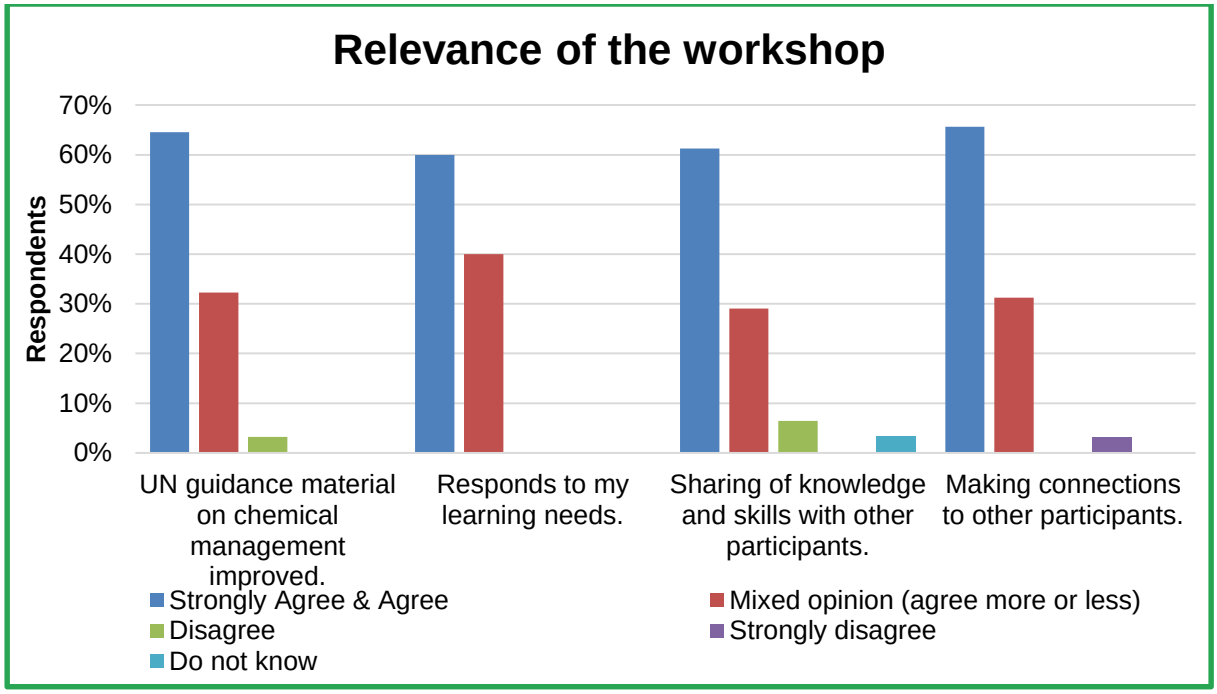
little evidence of the use of the Toolbox having much impact beyond single users. To increase impact, workshops should be planned as part of existing on-going processes that support wider adoption and use.

107. The assumption underpinning this question is that outcomes and learning of participants at country-level workshops inform the design of sub-regional workshops. ToC Finding d found this assumption to be false, partly because the new Toolbox platform was not available online for the first half of the project. What has happened is that participants in Toolbox workshops have valued and used learning from the experience of counterparts in other countries, particularly those in the same region facing similar issues (also see ToC Finding g).

108. Another project causal assumption is that promotion of the Toolbox at international events will result in taking the Toolbox back to their respective countries and using it. This has not happened either, again because the new Toolbox platform has not been available online (ToC Finding f).

109. Respondents to the survey of workshop participants said that they have shared their knowledge from the workshops with colleagues or students, sometimes by organising internal training sessions or planning to organise internal training in the future. However, it is too early to say if greater sharing of experience and networking will lead to greater and better use of the Toolbox such as to multiply impact beyond single users or countries (see ToC Finding h).

Figure 4: Relevance of the workshop for survey respondents



110. A point repeated by several respondents was that little can be achieved by one-off workshops. Hence workshops should be planned as part of existing on-going processes such that participants are supported in the use of the connections and technical capacity they build during the workshops. This is required, it is felt, in addition to webinars before and after a

workshop can help solidify learning and increase the chance of adoption and use. Some workshops have been embedded in on-going processes, as discussed in ToC Finding a.

EQ 2.6 To what extent is the project advancing gender equality and the empowerment of women and meeting the needs of other vulnerable and marginalized groups?

Finding 20: Gender is not considered in the Phase III project document, nor in implementation. This is despite IOMC participating organizations having guidance on how to incorporate gender in the project cycle and a growing awareness of the importance of gender mainstreaming. Despite being gender blind, the participation of women in project workshops has been high. A joint position paper on gender and the sound management of chemicals beyond 2020 provides a number of recommendations, several of which are relevant to the project.

111. SAICM's overall policy strategy emphasizes the strategic importance of women as stakeholders and their lack of representation in the implementation and decision-making processes for the sound management of chemicals.[67] Nevertheless, despite the emphasis, gender is not mentioned in the Toolbox Phase III project document. Moreover, consideration of gender and social exclusion is generally lacking in the management schemes and toolkits that constitute the Toolbox. The exception is the toolkit for monitoring and evaluating household water treatment and safe storage programmes. This toolkit includes indicators disaggregated by gender and discusses gender equity issues. Other indicator development documents within the Toolbox, such as guidance in developing safety performance indicators for industry, do not refer to gender in guidance on indicator formulation. Toolkits and management schemes do not include vulnerability assessments discussions on the use of various chemicals and the resultant waste products on the different genders.

112. The project's apparent lack of attention to gender is despite all IOMC member organizations having published and promoted gender strategy and guidance documents. For example, both FAO[68] and UNIDO[69] provide guidance on how to incorporate gender mainstreaming into the project cycle.

113. One of the most basic steps in gender mainstreaming is to collect gender disaggregated data. The Toolbox project compiled workshop participant lists, without indicating gender. Going by the names, the evaluation team made a rough analysis of male and female participation, finding that about 45% of participants were women. This compares to a 2018 UNITAR average of 43 per cent women participants[70] for its training courses. Unintentionally, the project has apparently provided relatively equal opportunities to both men and women to attend project workshops. In the online survey of workshop participants, there was no real difference between responses from men or women except that male respondents slightly show more

[67] http://gender-chemicals.org/wp-content/uploads/2017/12/2017-12-04-Gender_and_Chemicals_IssuePaper_MSP_Institute.pdf
[68] http://www.fao.org/3/a-i6854e.pdf
[69] https://www.unido.org/sites/default/files/2015-09/GM_the_project_cycle_FINAL_0.pdf
[70] Without counting peacekeeping training beneficiaries

extreme responses, being both more positive and more negative in their responses with regards to using knowledge and skills than female respondents.

114. As part of the SAICM beyond 2020 process, a group of concerned stakeholders formed at the SAICM meeting in April 2019 to consider the role of women and gender in the sound management of chemicals. The group, called Women and Gender @ SAICM, published a joint position paper entitled "Gender and the Sound Management of Chemicals beyond 2020" for the third meeting of the intercessional process in Bangkok in October 2019. The paper makes a number of suggestions to better integrate gender into SAICM, several of which are relevant to the Toolbox contents and use. The following table lists these and how the project might respond.

Table 4: Suggestions for how the Toolbox project can better integrate gender

Suggested measures	How Toolbox project can respond
Increase availability of gender-disaggregated data	Collect gender-disaggregated data for project activities Ensure gender-disaggregated data is collected where relevant when using the toolkits Develop gender specific indicators
Make gender assessment tools available and ensure their application at the national and international level	Develop and include gender assessment toolkits in the Toolbox
Support regional and national focal points with capacity building and tools for including women and gender issues in their work	Include regional and national gender focal points in the people targeted to attend project training workshops and then train them in the gender assessment tools (see above)
Develop an online platform for exchange on activities and information on gender and chemicals	Support the establishment of online regional communities of practice that include information sharing on gender

115. Another suggestion is to develop and share case studies on how gender has been mainstreamed into the sound management of chemicals and waste in different countries, to be included with other case studies being developed in Phase III.

116. A further suggestion is that the free UN CC: Learn Open Online Course on Gender and the Environment[71] be included in the Toolbox, in particular module 6 on chemicals and waste.

Conclusions

Conclusion 1: The Toolbox project is relevant

117. Phase III of the Toolbox project is relevant at a number of levels. It is relevant to the achievement of all 17 SDG goals, in particular SDG target 14.4 on the sound management of chemicals. It is highly relevant to SAICM given the project objective is to contribute to SAICM's objective to achieve the sound management of chemicals worldwide. The project objective is set to remain relevant in what SAICM becomes beyond 2020. The project is well-aligned with the EU's strategic objectives with respect to chemicals and waste, demonstrated by the European Commission having supported the project from the outset. The project is proving

[71] https://unccelearn.org/course/view.php?id=39&page=overview

relevant to a broader set of stakeholders than was recommended in the phase II final project evaluation

Conclusion 2: Delays in sharing a new version of the Toolbox platform online has changed the nature of project workshops from what was planned; however, the PMG has not adjusted to make full use of existing quality standards for design and delivery of training.

118. The main project intervention in Phase III is to hold 20 workshops to train participants on chemicals sound management through the use of the new Toolbox platform. Workshops are being carried out differently to what was planned because the new Toolbox platform was not ready. This had the effect of creating more space in the agenda for participants to learn from each other's experiences. At the same time, workshops have not been fully aligned with international quality standards for training. Workshops have lacked needs assessments, lacked learning and application objectives, and had no, or poorly done, participants' evaluation of completed workshops. While an online tool has been developed for the latter, response rate has been low and there is little evidence of anything being done with the feedback.

Conclusion 3: Partly as a result of the delay, Toolbox workshops are providing participants with valuable networking and peer-to-peer learning opportunities that otherwise may not have gained so much prominence.

119. Participants have appreciated peer-to-peer learning opportunities made available to them in the Toolbox workshops almost as much as the technical content. The Toolbox and its contents have been acting as 'boundary objects' allowing for the sharing and integration of knowledge and learning across sectoral and disciplinary boundaries which is necessary for the deep and cross-cutting changes required to help achieve the SDGs. By its inherent 'one-stop-shop' nature, Toolbox workshops by default bring together people from different sectors and disciplines. The fact that the new Toolbox platform has not been ready created a space for a diverse set of participants to share and learn from each other from their own practice (i.e. not necessarily anything to do with the Toolbox or contents). This has allowed a parallel 'peer-to-peer' impact pathway to emerge that enriches the 'learning about and use of Toolbox' pathway that is given prominence in the project document. This pathway requires those involved the opportunity to reconnect in follow up events, which are generally not happening. Follow-up webinars have been planned but a single webinar is not sufficient to maintain connections.

Conclusion 4: The analysis of the project's theory of change shows that the project's emerging impact pathway is essentially catalytic and nonlinear. This has a number of implications, not least with respect to the choice of indicators, targets and monitoring approach based on use of online questionnaires.

120. Making the project's theory of change explicit, and then validating it, shows that the project is developing in ways that were not originally envisaged. It shows that the project's emerging impact pathway is essentially catalytic and nonlinear – that is, the connections that it helps participants make to other people and to tools can make a big difference for little investment, but in ways that are hard to predict, monitor and quantify. This conclusion has implications for future implementation, monitoring and evaluation.

121. With respect to indicators, the impact indicator relating to increasing use of the Toolbox should measure just that, not selected IOMC tools where some of the tools being monitored are not part of the Toolbox. Even with this correction, the indicator remains problematic as a measure

of project impact because it does not take into account qualitative outcomes such as increase in the quality of use of the Toolbox contents and improved problem-solving. Furthermore, using online questionnaires to monitor outcomes and impact, as SAICM does, is problematic because of low response rates and lack of sufficient contextual information to gauge the significance of any adoption and use that is reported.

Conclusion 5: Current levels of use of the Toolbox are ahead of target. However, the targets are too low to make a significant contribution to SAICM's objective. There is an urgent need to prioritize efforts to go to 'scale'

122. The project is ahead of target in terms of workshops carried out and persons reached. The project's objective is to contribute to the sound management of chemicals in developing countries and countries whose economies are in transition. This is more than 150 countries, of which the project has set a target of reaching 20. This target, and the target to reach and train 2000 persons would appear too low to make a meaningful contribution to SAICM. The project should increase its efforts to make a difference at scale.

Conclusion 6: The project does not consider gender, but should, especially considering the priority being given to it in the SAICM beyond 2020 process.

123. Gender is not mentioned in the Toolbox Phase III project document. Consideration of gender is also lacking in the management schemes and toolkits that constitute the Toolbox, with one exception. The project's apparent gender blindness is despite all IOMC member organizations having published and promoted gender strategy and guidance documents, and gender being a priority within the SAICM beyond 2020 process. Apparently unintentionally, the project has provided relatively equal opportunities to both men and women to attend project workshops.

Conclusion 7: Administrative and bureaucratic requirements are impeding efficient project delivery

124. It is generally accepted that projects involving more than one UN agency experience greater administrative and bureaucratic obstacles than single agency ones. The Toolbox project has been no exception. One of the partner organizations had a particular difficulty negotiating the collaborative project structure with its own administration. This meant it could not spend its own budget, which prevented other partners spending theirs. This is because the EC – the donor – has a rule that 70% of the previous tranche payment before the next tranche payment can be made to all. If some partners are slow in spending, release of the next funding is delayed for all.

125. It is also generally accepted that better collaboration between UN organizations is necessary for them to be more effective at tackling the SDGs. The Toolbox project is unique in being implemented by most of the IOMC participating organizations together. Hence the project has a valuable opportunity to learn from its successes and failures in making collaboration work, both at agency HQ level and in countries.

Conclusion 8: The project requires a no-cost extension and most likely a fourth phase to stabilize and amplify progress to date, and ensure the Toolbox continues to be maintained after the end of the project

126. The project has been delayed by the new Toolbox platform not being available online for the first half of the project. The project will require a no-cost extension to complete phase III and most likely a fourth phase as well. The prospect of both are being discussed with the EC.

Recommendations

Recommendation 1 on finishing the new Toolbox platform and case study development

127. The PMG should continue to make finishing the new Toolbox platform its main priority, in addition to prioritizing the development of case studies that include country examples of using Participating Organization's guidance material in tackling chemical management challenges including lessons learned that can be of relevance for other countries.

Recommendation 2 on the project's theory of change and monitoring

128. The PMG should give the project's theory of change and log frame a thorough review. Using the evaluation team's analysis of the project's theory of change, as an input, the PMG should consider the following:
Review, and if necessary, change, the indicators, and targets in the log frame, in particular the project's choice of impact target. Consider how improving the quality and relevance of the Toolbox and workshops can be included in outcome monitoring. Consider whether it makes sense to attempt to quantify the project's impact, given the project's impact pathway has shown itself to be essentially catalytic and nonlinear.
Consider whether there are key causal processes and assumptions missing from the theory of change and include them if there are.
Use the theory of change and revised log frame for planning activities for the rest of the project, including for any no-cost extension or fourth phase.

Recommendation 3 on future workshops

129. The PMG should ensure that equal time is provided in the remaining project workshops for peer-to-peer learning on the use of the new online version of the Toolbox. In designing such workshops, the following suggestions should be considered, some of which are already starting to be acted upon, although not consistently:
Enhance the training guidelines so that training workshops are based on identified needs of learners and incorporate learning and application objectives, in accordance with international standards. Ensure that evaluations of specific training workshops are reviewed regularly to inform future workshops, with adjustments made as deemed necessary.
Encourage participants to set up a WhatsApp group or similar interactive format to facilitate participants sharing news on chemical-related issues and events and asking each other for advice or help.
Hold at least one follow-up webinar after each workshop in which participants reconnect and report on if and how they used the connections and learning they gained during the workshop, in particular of the Toolbox. If funds can be found, hold a second face-to-face workshop.
Analyse and report on subsequent use by participants of technical capacity and connections gained from workshops as part of a more structured effort at beneficiary monitoring.

Identify opportunities for co-financing workshops from other initiatives that share a common purpose and can fund follow-up activities.

Recommendation 4 on increasing project reach and impact

130. The PMG should explore ways of increasing project reach and impact, including:
    - Establishing reciprocal agreements with other chemical-related portals and platforms to point users to the Toolbox platform.
    - Proactively encourage each organization participating in the project, and DG Environment, to stipulate that future chemical-management-related projects enrol relevant staff in a Toolbox workshop or include a component in the Toolbox.

Recommendation 5 to implement a strategy to address women's empowerment in the Toolkit

131. The PMG should develop and implement a strategy to address women's empowerment in the Toolkit. The strategy should consider measures suggested by the Women and Gender @ SAICM group in their joint position paper (see Table 4).

132. As part of developing case studies, the PGM should prioritize the development and sharing of case studies on how gender has been mainstreamed into the sound management of chemicals and waste in different countries.

Recommendation 6 on reducing administrative burden on the project and then learning from the intent

133. The PMG should explore ways in which tranche payments can be made in a timelier manner, for example by changing the rule that 70% of the previous tranche budget has to be spent before the next payment can be made, and in finding ways in which the preparation of the certified consolidated financial reports can be made less bureaucratic.

134. The PMG should also request that the final project evaluation look explicitly at the range of bureaucratic and administrative issues faced by the project, and the ways that the project has surmounted them, or not, as lessons for other multi-agency projects in the future.

Recommendation 7 on project extension

135. The PMG should continue with its conversation with the EC as to requesting a no cost extension of one year and a fourth phase. One requirement for either option is that the project partners agree how the Toolbox website and relevant Toolkits will be maintained after the end of the project. A second requirement is that the any extension and new phase is aligned with the beyond 2020 SAICM vision that is currently being developed as part of the intercessional process.

Lessons learned

136. The following are generalisable lessons identified by the evaluation team: findings of potential relevance beyond the immediate project and/or findings that could be particularly valuable for organisational improvement and learning.

Lesson 1 on planning for collateral outcomes in training events

137. When people are brought together for a training event, there will always be 'collateral' benefit that comes through participants making contact and sharing their ideas and experiences with others. This should be more explicitly recognised as an important impact pathway alongside the pathway relating to the use of the technical capacity being built. The collateral pathway proved particularly strong in this project because Toolbox workshops brought together people facing similar challenges from different organizations, Ministries, and countries. Learning from each other proved at least as valuable as learning about a particular scheme or toolkit. The theory around "boundary objects" can help better understand and plan for these less visible but important knowledge-sharing processes to happen and be maintained.

Lesson 2 on inter-agency collaboration

138. There are good reasons why UN and other multilateral agencies should work together more closely to achieve the SDGs. In practice inter-agency collaboration is made difficult by bureaucratic requirements established to ensure tight accountability for funds provided. Bureaucratic difficulties act as a strong disincentive to collaborative arrangements as staff once bitten are twice shy. There is little that can be done at project level to change the requirements – bureaucratic difficulties will remain a known unknown that need to be better planned for, for example by requesting longer project durations for projects involving two or more organizations.

Lesson 3 on developing and using a theory of change

139. Including a theory of change in a project document and revisiting it during the mid-term and final evaluations is generally seen as good practice. This project had not done this, so the evaluation team reconstructed a theory of change based on the causal logic written into the phase III project document. The subsequent diagram linked project outputs to outcomes and impact and explained the causal assumptions underpinning the links. This allowed for a more detailed assessment of progress towards outcomes and impact than would otherwise have been possible. This analysis helped give visibility to the collateral impact pathway described above. It underscored the importance of less formal, issue-based communities of practice built on people attending workshops compared to a centrally-mandated community of practice around the use of the Toolbox. The theory of change supports a broadening of the project away from the tight focus on policymakers recommended in the phase II final evaluation to include professionals working on chemical management. Theory from the literature helped understand how the Toolbox was working as a boundary object. The lesson is that such a use of theory of change, should be considered in other projects.

1. Annexes

Overview of annexes:

A. Case studies
B. Logical Framework
C. Terms of reference
D. Survey/questionnaires deployed
E. List of persons interviewed
F. List of documents reviewed
G. Evaluation question matrix
H. Evaluation consultant agreement form

A. Case studies

Indonesia

OECD successfully suggested Indonesia as a pilot country to work on industrial chemicals before the first Joint Project Management Group (JPMG) teleconference in January 2018.[72] UNITAR took on the task of organizing a face-to-face workshop and approached the Environmental Director in the Indonesian Mission to the United Nations in Geneva who put them in contact with the Basel and Stockholm Convention Regional Centre (BSCRC) for South East Asia in Indonesia. The two organizations agreed that the workshop would focus on developing a pollutant release and transfer register (PRTR) for Indonesia.[73]

Since 1996, OECD has been promoting the development of PRTRs by its member countries. OECD considers that PRTRs are a key tool for governments to provide the public with data regarding the amount of chemicals and pollutants released to air, water and soil and transferred off-site for treatment or disposal.[74]

Japan has been working with Indonesia on chemical management since 2004. Since 2017, the Indonesian government has suggested the focus be on PRTRs. In 2018, Japan organized a study tour of its PRTR scheme for Indonesian stakeholders and in 2019 held a workshop on the topic in addition to the IOMC workshop in August.[75]

PRTRs was a topic that BSCRC had not previously worked on in Indonesia, and in the view of a key informant, was important but not of the highest priority for the government. In his view, PRTRs are relatively straightforward to establish if there is sufficient funding, and he doubts whether there is.[76]

[72] IOMC Toolbox 3_Final notes 1st TC of JPMG 30 Jan 2018.pdf
[73] Respondent 7
[74] https://www.oecd.org/chemicalsafety/pollutant-release-transfer-register/
[75] Respondents 18, 19 & 20
[76] Respondent 3

The work on PRTRs began with three webinars for national staff in May, June, and July 2019 respectively. The webinars were held so that national staff from the Ministries of Environment and Forestry, Industry and Health could gain a foundational understanding of PRTRs. The webinars were attended by about 20 people in one place and delivered by UNITAR and OECD personnel using the Zoom tele-conferencing platform. An OECD source said that she thought the main workshop worked much better because participants had been prepared by the webinars.[77]

While the workshop in Indonesia was a 'national' workshop, BSCRC, who has a regional mandate, asked that representatives from other Asian countries working on PRTRs also attend. The workshop was held in August for about 40 people. From Indonesia, participants came from the Ministry of Environment and Forestry, Ministry of Industry, Ministry of Health, BSCRC and from an industry association. From the region, participants came from Malaysia, Vietnam and Thailand. The Japanese Ministry of Environment was represented by one person from JICA and three consultants working for the EX Research Institute, Japan.[78] The Japanese participants attended because they were asked to do so by OECD, to share the Japanese experience with PRTRs. UNITAR and OECD staff also attended, together with a representative of the US Environmental Protection Agency (EPA). Table A1 shows the organizations that were represented at the workshop.

Table A1: Organizations represented at the Indonesian Toolbox Workshop

Indonesia

- PT UTAC Manufacturing Service
- Directorate of Hazardous Substances Management, Ministry of Environment and Forestry
- Quality Research and Development Center and Environmental Laboratory, Ministry of Environment and Forestry
- Directorate for Performance Assessment of Hazardous Waste and Non-Hazardous Waste Management, Ministry of Environment and Forestry
- Directorate of Upstream Chemical Industry, Ministry of Industry

Thailand

- Pollution Control Department

Vietnam

- Ministry of Natural Resources and Environment

Malaysia

- Department of Environment, Ministry of Energy, Science, Technology, Environment and Climate Change

US

- United States Environmental Protection Agency

Japan

- EX Research Institute Ltd.,
- Japan International Cooperation Agency (JICA)

[77] Respondent 22
[78] Workshop printed materials.pdf

Multilateral organizations

- Basel and Stockholm Convention Regional Centre for South-East Asia in Indonesia
- OECD
- UNITAR
- UNIDO

The first day of the workshop included an introduction to the IOMC Toolbox and selected toolkits as well, a presentation of the PRTR Scheme. Participants were given an opportunity to use the toolbox in practice. They also reviewed the Indonesian national context for chemical management and pollution control, including existing monitoring systems and possible objectives of a national PRTR system.

The second day of the workshop focussed on experience sharing. Participants from Japan, USA, Malaysia, Vietnam, and Thailand shared their respective country's experience with PRTRs. The presentations provided a spectrum of experience from countries with well-developed PRTRs to those just starting. UNIDO gave an online presentation on chemical leasing.

The evaluation team spoke to six people who attended the workshop. What respondents liked the most was the chance to meet others working on PRTRs in other countries in the region, who shared a similar set of problems and culture. Japanese participants interviewed felt that it would be useful to hold regular meetings for the people responsible for piloting PRTRs in the region to update each other on progress. They suggested the next workshop will be held in Thailand.

Respondents also appreciated that the workshop fostered inter-agency cooperation. They found the Toolbox of interest, however there was some frustration voiced about it not being properly online at the time the workshop was held. Four workshop participants completed an online survey carried out by the evaluation team. Their feedback was that they appreciated the opportunity to meet and share with others, that the workshop could have been more participatory, that it was not long enough to make any meaningful change to their work practices but nevertheless similar experience-sharing workshops should be held on a regular basis.

One of the selection criteria for choosing pilot countries was an agreement to pilot test a scheme after the training. Participants felt the webinars and workshop had served to introduce them to PRTRs but would require further capacity development to begin piloting. Discussions are underway between the Ministry of the Environment and Forests and Ministry of Industry to begin pilot testing. Japan organizes an annual meeting on chemical management in Indonesia. PRTRs were included in the agenda in the 2019 meeting held in November, after the IOMC Toolbox meeting. BSCRC has not yet started working on PRTRs but is open to do so should it become a higher priority for the Indonesian Government.[79]

As of January 2020, the post-workshop webinar had not taken place.

[79] Respondent 3

Kazakhstan

As of January 2020, WHO has carried out two national workshops on health and chemicals in Mali and Egypt and one regional workshop in Kazakhstan which is the subject of this case study. The workshop was carried out together with a WHO project called “Establishment of key elements of national systems for a sound management of chemicals in selected countries,” funded by the German government (EURO project).[80] The EURO project paid for the participation of people from Georgia, Belarus and Kazakhstan -- the three countries in which it works. The project aims to develop national chemical risk management systems through:

- Providing a providing a discussion platform.
- Building capacity through training.
- Developing national road maps towards sound chemical management.
- Creating national chemical management infrastructure, including the technical and methodological capacity to share data online.

The Toolbox project funded two people from eight other countries in the region: Armenia, Azerbaijan, Kyrgyzstan, Mongolia, Moldova, Tajikistan, Ukraine and Uzbekistan.[81] More than 60 participants attended the workshop that was held in April 2019 in Kazakhstan.

Participating countries were invited to nominate participants. A large variety of people attended. The following are a sample of ten to provide a sense of the range of different types of institution and levels of seniority that were represented.

- Head, Department of Environmental Hygiene, Ministry of Health
- Vice-Dean, Associate Professor, Internal Medicine, Ministry of Health
- Head of Labour Hygiene, Republic Center of Hygiene and Epidemiology, Ministry of Health
- Software Engineer, Scientific and Organizational Department, Scientific and Practical Center of Hygiene
- Head of Department, Registration of Chemical and Biological Plant Protection Products and Fertilizers, Main State Inspectorate for Seed Growing, Quarantine and Plant Protection
- Head of Department for Waste Management, Ministry of Natural Resources and Environment
- Chief Specialist, Biosafety Research and Especially Dangerous Pathogens Department
- Head of Legal Division, National Center for Disease Control and Public Health
- Deputy Director General, National Center for Disease Control and Public Health
- Doctor Hygienist, Occupational Health, Chemical and Toxicological Security Section, Ministry of Health, Labour and Social Protection
- Head of Laboratory, Chemical Danger and Toxicology, Ministry of Health, Labour and Social Protection

The workshop ran for five days and covered a broad range of topics from the Toolbox:

[80] https://www.umweltbundesamt.de/sites/default/files/medien/3662/beratungshilfe/info_51-80_en.pdf
[81] 05 List of participants Toolbox Regional Kaz.pdf

- Chemical lifecycle management
- GHS
- Chemical risk assessment
- Regulation of biocides
- Control legislation enforcement
- How international organizations can support public health management of chemicals.

A respondent who helped organize and attended the workshop said that it had exceeded her expectations and that there was nothing that she would change if doing it again.[82] She identified the following elements that contributed to the workshop's success:

- Practical exercises on the workshop topics.
- The depth of understanding participants were able to achieve;
- Participants came from countries that shared a common language (Russian) a similar culture and a similar set of challenges, and so were motivated by each other's achievements, and open to learn from each other as peers.
- The relatively large number of countries represented (11) allowed for a broad and rich learning experience.
- At least two representatives from each country.
- Good translation into Russian.

Two participants responded to the evaluation team's online survey. One said he benefited by meeting someone from the Ministry of Health in his country. A second said he presented the workshop PowerPoint to the toxicology sub-council members of the Ministry of Health and to his office colleagues. As a result, they developed a national road map for toxicology in Mongolia from 2020 to 2030 and adjusted national-level training.

Also, as a result of the workshop, Ukraine and Kazakhstan have invited Belarus experts to work with them on GHS. Some participants have maintained contact with others since the workshop. Workshop presentations and exercises were made available online in two languages. There is a demand to hold regular meetings such as this to strengthen connections and learning between the people involved in public health management of chemicals across the region. WHO has received requests for Toolbox workshops in a number of countries in the region.[83]

[82] Respondent 17
[83] Respondent 9

Trinidad and Tobago

FAO is responsible for maintaining and building capacity in the use of the FAO Pesticide Registration Toolkit as part of the IOMC Toolbox. FAO has carried out six capacity development workshops under the auspices of the IOMC Toolbox project between 2018 and 2019, covering 29 countries. During the same period FAO conducted five other workshops through funding from other sources, covering 24 countries bringing the total to 53 countries in five continents, as part of an overall capacity development strategy. The added value of the IOMC Toolbox project to FAO is to allow for a greater number of workshops to be held, and for the development of new material for the toolkit.[84]

The workshop in Trinidad and Tobago was carried out in February 2019, lasting five days. It was co-funded by the FAO GEF-funded project 'Disposal of Obsolete Pesticides including POPs, Promotion of Alternatives and Strengthening Pesticides Management in the Caribbean'. Seven participants attended from Trinidad and Tobago while 11 came from other countries in the region: St. Vincent and the Grenadines, Suriname, Bahamas, Guyana, St. Kitts and Nevis, Jamaica and Barbados.[85] The participants from Trinidad and Tobago -- the host country -- included representatives from: the Ministry of Health including one person from the Chemistry, Food and Drugs Division; the Ministry of Agriculture; and, an analytical chemist from the University of the West Indies. Other countries generally sent one person from their respective Departments of Agriculture or from pesticide, toxic chemicals or health and food safety regulatory bodies. The workshop was advertised as being for pesticide registrars, but the participants' list made available to the evaluation team does not say which of the participants were registrars.

The agenda covered an introduction to the IOMC Toolbox on the first day followed by an in-depth training on the FAO toolkit modules, that included the use of case studies and practical exercises. The workshop finished with participants agreeing on next steps that included:

- Committing to share the training with colleagues in their respective organizations.
- Committing to use the toolkit and submit comments and suggestions for additional content and improve its delivery;
- To encourage their respective national regulatory authorities to request for toolkit training and/or training in HHP identification.

The workshop agenda focused on the pesticide registration which is part of the National Management Scheme for Pesticides, one of the seven schemes in the IOMC Toolbox. The pesticide scheme covers all steps in the pesticide life-cycle, of which registration is just one. Other steps include storage and transport, disposal and quality control. The IOMC Toolbox also includes a scheme on classification and labelling of chemicals (GHS) that is relevant to pesticide registrars. This was not covered either.

A similar workshop was carried out in the same venue almost exactly two years previously in February 2017, with different funding sources.[86] Together, the two workshops trained a total

[84] Respondent 24
[85] IOMC Toolbox TT regional training workshop report (4-8 February 2019)_200219 final.doc

of 41 registrars and technicians from 15 countries in the use of the FAO Pesticide Registration Toolkit.[87]

The 2019 workshop received a very positive evaluation from participants, as shown in Table A2.

Table A2: Results of the Trinidad and Tobago workshop evaluation

Evaluation question	Agree	Neutral
The information presented in this workshop was new to me.	100%	
The content of the training is relevant to my job	100%	
The content of the training is important to my job success	86%	14%
The IOMC Toolbox would help me to identify tools developed by IOMC partner organizations for chemicals management	100%	
I plan to use the IOMC Toolbox in the future to identify relevant management tools	100%	
I will recommend the IOMC Toolbox to my colleagues	93%	7%

Most of the recommendations for improvement were about improving the navigation around the toolbox and toolkit, noting that using the toolkit would be time consuming and requires some training. One participant said they would have liked to have seen a demonstration of one or two other relevant toolkits.

During the workshop, participants agreed to establish a WhatsApp group to remain in contact. Members use the group to ask colleagues for information on new pesticides they are being asked to approve for sale, as well as pesticide-related incidents and issues being written about in the media that might affect their own work. The WhatsApp group can be understood as an incipient community of practice.

[87] http://lvv.gov.sr/media/1434/carib-pesticides-management-news-oct2019.pdf

B. Logical Framework

	Intervention logic	Indicators	Baselines (incl. reference year)	Targets (incl. reference year)	Sources and means of information	Assumptions
Overall objective: Impact	Countries implement SAICM	Chemicals risk assessment and risk reduction through the use of best practices – Progress in the adoption of tools and guidance developed by IOMC Participating Organizations	8% average increase of stakeholders using selected IOMC tools during 2011-2013 (see ICCM4, Doc. SAICM/ICCM.4/3)	10-15% average increase of stakeholders using selected IOMC tools during 2017-2012.	Progress reports on the implementation of SAICM; country survey	SAICM Secretariat prepares a third and fourth report for the periods 2014-2106 and 2017-2019 (see ICCM4, Doc. SAICM/ICCM.4/3)
Specific objective: Outcome	Toolbox provides an effective mechanism for accessing guidance	# of downloads from the IOMC Toolbox web site	# of downloads at the end of Phase II (Oct 2017)	10-15% increase per year in 2018, 2019 and by Oct 2020	Web statistics	Countries have immediate, tangible, policy-related objectives or problems to address.
	Countries use and implement guidance provided through the Toolbox	# of countries having implemented or are in the process implementing IOMC Tools	# of countries at the end of Phase II (Oct 2017)	20 countries	Meeting reports	
	Countries are able to initiate process to resolve chemicals management issues using Toolbox materials	Level of being able to manage chemicals in countries by using IOMC Tools (at a scale from 1 to 5)	NA	75% at level 4 and above	Survey and case studies	
Outputs	New IOMC Toolbox design	Level of user satisfaction (on a scale from 1 to 5).	NA	75% at level 4 and above.	Online evaluation questionnaire	Design of Toolbox will change.
	Target audience is aware of Toolbox	# of visits to IOMC Toolbox	# of visits at the end of Phase II of the Project (Oct 2017)	10-15% increase per year in 2018, 2019 and by Oct 2020	Web statistics	Toolbox visitors reply to evaluation questionnaire.
		Background of online visitors	NA	At least 50% of visitors replying to online questionnaire from within target audience	Online evaluation questionnaire	
		# of persons to whom the Toolbox is promoted and trained.	4000 (Oct 2017)	6000 (i.e. 4000 (2017) plus 2000) (Oct 2020)	Meeting reports	
		Background of persons to whom the Toolbox is promoted and trained.	NA	More than 70% of persons from within the target audience	Meeting reports/1	
	Target audience is trained on the use of selected tools	# of capacity building events (face-to-face)	0	20	Reports	Participants in capacity building events have an active role in their countries concerning the management of chemicals. Participation in the event prepares them to implement the necessary tools to strengthen the management systems.
		# of capacity building events (webinars)	0	20	Reports	
		# of participants attending capacity building events (face-to-face)	0	300 (by Oct 2020)	Reports	
		# of participants attending capacity building events (webinars)	0	300 (by Oct 2020)	Webinar statistics	
		Level of preparedness to implement identified tools following training events (on a scale from 1 to 5).	NA	75% at level 4 and above	Evaluation questionnaire	

C. Terms of reference

Mid-term evaluation of the IOMC Toolbox for decision making in chemicals management – Phase III: From design to action

17.10.2019

Background

1. The IOMC Toolbox project (the "project") for Decision Making in Chemicals Management was designed to assist countries and (sub) regions in developing countries and countries with economies in transition worldwide with identifying the most relevant, efficient and appropriate national actions to respond to chemicals management problems. The intended impact is to strengthen the sound management of chemicals in many developing countries and countries with economies in transition.

2. The project has completed two phases already. Phase I focussed on the development of a proof-of-concept version of the Toolbox itself. During Phase II the Toolbox was pilot-tested, further developed and its functionalities were improved. At the end of Phase II, the Toolbox was promoted to over 3,000 policymakers worldwide but focussing on developing countries and countries with economies in transition. The objective of Phase III, from design to action, is to continue improving functionalities and broadening the scope and application of the Toolbox. In addition, Phase III includes a strong capacity building component to broaden awareness of the Toolbox and enable countries to implement the tools available in the Toolbox. This will be achieved by conducting a series of webinars and face-to-face capacity building workshops for relevant policymakers and professionals.

3. All activities of the project are truly targeted at developing countries and countries with economies in transition. Today, much of the scientific know-how, technical insights and practical experience regarding the development and implementation of chemical management systems lie with developed countries especially the OECD member states. The Toolbox wants to provide a way to transfer this knowledge while addressing the needs and capacities of the recipient countries.

4. For the development and implementation of the Toolbox, the IOMC brought together nine intergovernmental organisations actively involved in chemical safety: WHO, FAO,

ILO, UNDP, UNEP, UNIDO, UNITAR, the World Bank and OECD. As such the IOMC aims to strengthen international cooperation in the field of chemicals management.

Purpose of the evaluation

5. Phase III of the project calls for an independent, external evaluation to be undertaken after the phase's **mid-point**. The purpose of the mid- term evaluation is to assess progress towards achieving the project's planned results. The midterm evaluation should in particular take account of initial action results and assess the **relevance and effectiveness criteria**. Furthermore, the evaluation should provide an overall conclusion at mid- term and reveal recommendations for improving implementation for months 18-36. The final evaluation, to be undertaken upon the completion of the project, will review relevance, effectiveness, efficiency, impact, and sustainability, and identify lessons from action implementation with a view to contribute to learning and informed decision-making. In addition, the final evaluation will aim to include narrative case studies to enable in-depth analysis of the effectiveness of the action on country and (sub) regional levels.[1]

Scope of the evaluation

6. The mid-term evaluation will cover the period from the start of Phase III of the project, 1 January 2018 to 30 September 2019. The evaluation will cover both country and (sub)regional project outputs and progress towards the expected outcomes, as indicated in the project logical framework (see Annex A). Progress of actions will be assessed against the Indicative Action Plan (see Annex B). The mid-term evaluation is designed as a light evaluation.

Evaluation criteria

7. The evaluation will assess project relevance and effectiveness, project performance against the indicators and measures of the logframe, the implementation of the recommendations issued from the Phase II evaluation and address partnership modalities.

· Relevance: Is the project reaching its intended users and relevant to the targeted global and country specific needs and priorities?

· Effectiveness: To what extent is the project producing planned outputs and making progress towards attainment of outcomes?

Principal evaluation questions

8. The questions below are suggested to guide the mid-term evaluation. The focus lies on relevance and effectiveness as per project document and the most important questions are in bold print.

Relevance

a) Is the project reaching its intended users (policy-makers and decision-makers as well as technical professionals particularly in developing countries and countries with economies in transition as primary beneficiaries and users of chemicals as final beneficiaries)?

b) How relevant are the Toolbox and the toolkits to the targeted users' specific country needs?

c) To what extent does the project support the implementation of the Strategic Approach to International Chemicals Management (SAICM)?

d) How relevant is the project to supporting the 2030 Agenda for Sustainable Development and more specifically helping Member States to achieve Goal 12 amongst others?

e) To what extent is the project aligned with the European Union strategic objectives?

f) To what extent has the project been relevant for advancing gender equality and the empowerment of women and meeting the needs of other groups made vulnerable?

Effectiveness

a) Has the guidance material for chemicals management been effective to support implementation of the Strategic Approach to International Chemicals Management (SAICM)?

b) To what extent are the Toolbox and the toolkits being used by its targeted user groups?

c) To what extent has use of the Toolbox and the toolkits contributed to addressing national chemicals management challenges?

d) To what extent did the enhanced functionality of the Toolbox and the extra entry points and availability of new tools succeed in broadening reach and use of the Toolbox amongst intended users?

e) To what extent have the Toolbox and the toolkits **promotion events** been successful to broaden reach and use of the Toolbox?

f) Has **awareness** on the Toolbox and the toolkits and its purposes and functionalities increased among the targeted user groups in comparison to the previous Phase?

g) To what extent have national and regional **capacity building activities** contributed to increased capacities to use the tools and the identification of actions needed, in comparison to Phase II?

h) To what extent are a human rights-based approach and a gender mainstreaming strategy incorporated in the design and roll-out of the toolbox and the toolkits?

i) To what extent are Toolbox and the toolkits users sharing their experience with other stakeholders in their region and as such multiply impact beyond single users or countries?

j) How effective are the Toolbox and the toolkits as a mechanism for accessing and managing information?

9. The midterm evaluation will also review project performance against the indicators and measures of the logframe, the implementation of the recommendations issued from the Phase II evaluation and address partnership modalities of the project, including the effectiveness and efficiency of implementing partners, if any.

Evaluation Approach and Methods

10. The evaluation is to be undertaken in accordance with the UNITAR Monitoring and Evaluation Policy Framework and the Norms and Standards of the United Nations Evaluation Group. The evaluation will be undertaken by a supplier or an international consultant (the "evaluator") under the overall responsibility of the UNITAR Planning, Performance Monitoring and Evaluation Director (PPME).

11. The evaluation shall follow a participatory approach and engage a range of network stakeholders in the process. Data collection should be triangulated to the extent possible to ensure validity and reliability of findings and draw on the following methods: comprehensive desk review, including a stakeholder analysis; surveys; key informant interviews (remotely); and focus groups (remotely). These data collection tools are discussed below.

12. The evaluator should engage in quantitative and qualitative analysis in responding to the principal evaluation questions and present the findings qualitatively or quantitatively as most appropriate.

Data collection methods:

Comprehensive desk review

The evaluator will review the online Toolbox (http://iomctoolbox.oecd.org) if available and key project- related documents, including the grant application and logical framework, project management group minutes and reports, guidance material, web statistics, results from self-evaluations undertaken by the IOMC participating organizations following promotion, training or other events, and other documents.

Stakeholder analysis

The evaluator will identify the different stakeholder groups. Key stakeholders include the various partners involved in development and implementation of the Toolbox, policy-makers and professionals in developing countries and countries with economies in transition.

Survey(s)

With a view to maximizing feedback from the widest possible range of project stakeholders, the consultant shall develop and deploy a survey(s) following the comprehensive desk study to provide an initial set of findings and allow the evaluator to easily probe during the key informant interviews (remotely).

Key informant interviews

Based on stakeholder identification, the evaluator will identify and interview key informants. The list of global focal points is available in Annex C. In preparation for the interviews with key informants, the consultant will define interview protocols to determine the questions and modalities with flexibility to adapt to the particularities of the different informants. Interviews will be done by using remote technology.

Focus groups

Focus groups should be organized with selected project stakeholders to complement/triangulate findings from other collection tools.

Gender and human rights

13. The evaluator should incorporate human rights, gender[2] and equity perspectives in the evaluation process and findings, particularly by involving women and other disadvantaged groups subject to discrimination. All key data collected shall be disaggregated by sex, age grouping and disability and be included in the draft and final evaluation report.[3] This could involve developing dedicated evaluation questions addressing these issues, including gender consideration in data collection and analysis.

14. The guiding principles for the evaluation should respect transparency, engage stakeholders and beneficiaries; ensure confidentiality of data and anonymity of responses; and follow ethical and professional standards.

Timeframe, work plan, deliverables, and review

15. The proposed timeframe for the evaluation spans from November 2019 (initial desk review and data collection) to February 2020 (submission of final evaluation report). An indicative work plan is provided in the table below.

16. The consultant shall submit a brief evaluation design/question matrix following the comprehensive desk study, stakeholder analysis and initial key informant interviews. The evaluation design/question matrix should include a discussion on the evaluation objectives, methods and, if required, revisions to the suggested evaluation questions or data collection methods. The Evaluation design/question matrix should indicate any foreseen difficulties or challenges in collecting data and confirm the final timeframe for the completion of the evaluation exercise.

17. Following data collection and analysis, the consultant shall submit a zero draft of the evaluation report to the evaluation manager and revise the draft based on comments made by the evaluation manager.

18. The draft evaluation report should follow the structure presented under Annex C. The report should state the purpose of the evaluation and the methods used and include a discussion on the limitations to the evaluation. The report should present evidence-based and balanced findings, including strengths and weaknesses, consequent conclusions and recommendations, and lessons to be learned. The length of the report should be approximately 20-30 pages, excluding annexes.

19. Following the submission of the zero draft, a draft report will then be submitted to the Project's management team to review and comment on the draft report and provide any additional information using the form provided under Annex D by 3 of February 2020. Within one week of receiving feedback, the evaluator shall submit the final evaluation report. The target date for this submission is 28 February 2020.

Indicative timeframe: November 2019 – February 2020

Activity	November	December	January	February
Evaluator selected and recruited				
Initial data collection, including desk review, stakeholder analysis				
Evaluation design/question matrix				
Data collection and analysis, including survey(s), interviews and focus groups (remotely)				
Zero draft report submitted to UNITAR				
Draft evaluation report consulted with UNITAR evaluation manager and submitted to the Project management team				
Project management team reviews draft evaluation report and shares comments and recommendations				
Evaluation report finalized and validated by the Project Management team				

Summary of evaluation deliverables and indicative schedule

Deliverable	From	To	Deadline
Evaluation design/question matrix	Evaluator	Evaluation manager	29 November 2019

Comments on evaluation design/question matrix	Evaluation manager/ Project management Group	Evaluator	6 December 2019
Zero draft report	Evaluator	Evaluation manager	20 January 2020
Comments on zero draft	Evaluation manager	Evaluator	27 January 2020
Draft report	Evaluator	Evaluation manager/ Project management Group	3 February 2020
Comments on draft report	Project management Group	Evaluation manager	17 February 2020
Final report	Evaluation manager	Evaluation manager/ Project management Group	28 February 2020

Note: The above timeframe is indicative and pending confirmation by the Project Management Group.

Communication/dissemination of results

20. The final evaluation report shall be written in English. The final report will be shared with all partners, the European Union, and the WHO evaluation Office. The report will furthermore be posted on an online repository of evaluation reports open to the public.

Professional requirements

21. UNITAR's Planning, Performance Monitoring and Evaluation Unit will undertake the mid-term evaluation. If required, the Unit will seek external support by recruiting an evaluator with the following qualifications:

· MA degree or equivalent in international relations, political science, development or a related discipline. Training and/or experience in the area of chemical management would be a clear advantage.

· At least 7 years of professional experience conducting evaluation in the field of capacity building.

· Technical knowledge of the focal area including the evaluation of learning.

· Field work experience in developing countries.

- Excellent research and analytical skills, including experience in a variety of evaluation methods and approaches.
- Excellent writing skills.
- Strong communication and presentation skills.
- Cross-cultural awareness and flexibility.
- Availability to travel.
- Fluency in English. Other languages are an advantage.

Contractual arrangements

22. The evaluator/evaluators will be under UNITAR contract and will report directly to the Manager of the Planning, Performance Monitoring, and Evaluation Unit ('evaluation manager'). The evaluator(s) should consult with the evaluation manager on any procedural or methodological matter requiring attention. The evaluator is responsible for planning any meetings, organizing online surveys and undertaking administrative arrangements for any travel that may be required (e.g. accommodation, visas, etc.). The travel arrangements will be in accordance with the UN rules and regulations for consultants.

23. The evaluation manager reports directly to the Executive Director of UNITAR and is independent from all programming related management functions at UNITAR. According to UNITAR's Monitoring and Evaluation Policy, PPME formulates annual corporate evaluation plans within the established budgetary appropriations in due consultation with the Executive Director and Management and conducts and/or manages corporate evaluations at the request of the Executive Director and/or programmes and other Institute divisional entities. Moreover, in due consultation with the Executive Director and Management, PPME issues and discloses final evaluation reports without prior clearance from other UNITAR Management or functions. In managing mandated, independent project evaluations, PPME may access the expenditure account within the ledger account of the relevant project and raise obligations for expenditure. This builds the foundations of UNITAR's evaluation function's independence and ability to better support learning and accountability.

Evaluator Ethics

24. The evaluator(s) selected should not have participated in the project's design or implementation or have a conflict of interest with project-related activities. The evaluator(s) shall sign and return a copy of the code of conduct under Annex F prior to initiating the assignment.

Annexes:

A: Project logical framework

B: List of documents and data to be reviewed

C: List of Contact Points

D: Structure of evaluation report

E: Audit trail

F: Evaluator code of conduct

G: List of events

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[1] The terms of reference of the final evaluation will take into consideration whether a subsequent phase of the project is being planned.

[2] In 2012, the United Nations Chiefs Executive Board for Coordination (CEB) endorsed the UN System-wide Action Plan (UN-SWAP) on Gender Equality and the Empowerment of Women as the UN's accountability framework to accelerate gender equality and the empowerment of women. UN-SWAP includes 15 unified performance indicators against which UN entities report. The SWAP 2.0 now includes 17 performance indicators.

[3] The UN Evaluation Group Norms and Standards indicate that "The evaluation design should include considerations of the extent to which the United Nations system's commitment to the human-rights based approach and gender mainstreaming strategy was incorporated in the design of the evaluation subject." (Standard 4.7 http://www.unevaluation.org/document/detail/1914)

D. Survey/questionnaires deployed

The IOMC Toolbox for Decision Making in Chemicals Management Project Mid-line Evaluation 2019

Introduction

Dear former participant,

Thank you for agreeing to fill out the questionnaire on IOMC Toolbox Project workshop that you attended.

The survey takes about 15 minutes! You can answer the open questions of the survey in the language you prefer to use.

Your answers are critical for us to improve the training that the Project provides. We want to know what you thought of the workshop you attended and if and how it has been useful to you.

All responses, including any personal information you provide, will be kept strictly confidential. Your input will only be used in combination with the responses of others participating in the survey.

If you have any questions on the evaluation or difficulties with the survey, please contact us at evaluation@unitar.org

Thank you so much for your time and contribution!

When you are ready to begin, just click on the "Next" button below.

Boru Douthwaite
Evaluation Consultant

Katinka Koke

UNITAR Evaluation Office

1

The IOMC Toolbox for Decision Making in Chemicals Management Project Mid-line Evaluation 2019

About you

* 1. What is your professional affiliation?

The IOMC Toolbox for Decision Making in Chemicals Management Project Mid-line Evaluation 2019

* 2. In which Ministry do you work in?

* 3. What is your age?

- Under 17
- 18-30
- 31-45
- 46-60
- 61+
- Do not wish to tell

* 4. What is your gender?

* 5. In which country are you based?

The IOMC Toolbox for Decision Making in Chemicals Management Project Mid-line Evaluation 2019

2

The workshop

6. Please indicate the training workshop(s) you attended.

- ☐ Health and Chemicals: Mali
- ☐ Health and Chemicals : Egypt
- ☐ Health and Chemicals: European and Central Asian Countries
- ☐ Industrial Chemicals: Colombia
- ☐ Industrial Chemicals: Sri Lanka
- ☐ Industrial Chemicals: Indonesia
- ☐ Industrial Chemicals: Peru, Chile, Bolivia, Uruguay, Ecuador, Paraguay, Argentina, Columbia and Brazil
- ☐ Pesticides: Maghreb Countries (Algeria, Morocco, Tunisia)
- ☐ Pesticides: South American/CONSAVE Countries
- ☐ Pesticides: European and Central Asian Countries
- ☐ Pesticides: Rwanda
- ☐ Pesticides: Trinidad and Tobago
- ☐ Other (please specify)

7. Why were you invited to attend to the workshop?

8. To what extent do you agree with the following statements about the relevance of the workshop you attended (if you attended more than one, please respond to the questions for the most recent one)?

	Strongly agree Agree	Mixed opinion (agree more or less)	Disagree	Strongly disagree	Do not know
Participation in the workshop made me more familiar with the United Nations guidance material on chemical management.	☐	☐	☐	☐	☐
It responded to my learning needs.	☐	☐	☐	☐	☐
It provided me with the opportunity to share my knowledge and skills with other participants.	☐	☐	☐	☐	☐
It provided me with the opportunity to make connections to other participants.	☐	☐	☐	☐	☐
Overall, I was satisfied with the workshop.	☐	☐	☐	☐	☐

9. What was most useful to you from the workshop? What did you most appreciate?

unitar

United Nations Institute for Training and Research

The IOMC Toolbox for Decision Making in Chemicals Management Project Mid-line Evaluation 2019

10. To what extent do you agree with the following statements on the usefulness of the workshop you attended?

	Strongly agree	Agree	Mixed opinion (agree more or less)	Disagree	Strongly disagree	Do not know
I have been able to confidently use the knowledge, skills or tools I acquired in the workshop in my work.	○	○	○	○	○	○
I have been able to use the connections I made at the workshop in my work.	○	○	○	○	○	○
I have shared with colleagues the tools, knowledge and/or skills I acquired during the workshop.	○	○	○	○	○	○

11. Please describe what you used to what effect, e.g., have there been any sustained changes in how you do your job or changes to your career that can be attributed to the workshop?

12. Please describe which connections you have used, how and to what effect.

13. Please describe what you shared from the workshop and to whom. Did they use it?

4

14. What helped you in using the tools, skills and/or knowledge after the workshop (e.g., institutional support, follow up activities, a new opportunity?)

15. What constrained or prevented you from using the tools, skills and/or knowledge after the workshop?

16. How much of your use of the tools, knowledge and/or skills covered by the workshop can you attribute directly to the workshop?

- 76-100 per cent
- 51-75 per cent
- 26-50 per cent
- 1-25 per cent
- Other (please specify)

17. What are your suggestions for improving the workshop you attended?

18. Beyond workshops, do you have any suggestions on what the IOMC Toolbox Project could do differently to improve chemical management in your country and region?

19. Do you have any other comments, questions, or concerns?

5

20. Would you like to be interviewed to tell us more about how the workshop and the Project has been of benefit to you and/or to share your suggestions on how the workshops and Project can be more relevant and useful in the future?

- Yes
- No

If yes, please indicate your email address here:

Thank you!

6

E. List of persons interviewed

Mr Anton Purnomo, Executive Director, Basel Convention Regional Centre for Southeast Asia and Stockholm Convention regional centre, Indonesia

Cesar Manuel LLamos Puga, Direccion de Control de la Contaminacion y Sustancias Quimicas Ministerio del Ambiente, Peru

Ms. Gloria Beatriz León Araujo, Funcionaria, Direccion de Planificación Estratégica, Secretaría del Ambiente (SEAM), Asunción, Paraguay

Ms. S.L. Dhammika K. Wijayasinghe, Acting Director, Environment Pollution Control and Chemical Management Division, Ministry of Mahaweli Development and Environment, Sri Lanka

Ms. Halshka Graczyk, Technical Officer, Occupational Safety and Health, International Labour Organization (ILO)

Mr. Jorge Luis Ocaña Correa, Manager, Chemicals and Waste Programme, United Nations Institute for Training and Research (UNITAR)

Mr. Andrea Cararo, Chemicals and Waste Programme, United Nations Institute for Training and Research (UNITAR)

Mr. Brandon Turner, Chemicals and Waste Programme, United Nations Institute for Training and Research (UNITAR)

Mr. Kersten Gutschmidt, World Health Organization (WHO)

Mr. Luis Humberto Umanzor Hernandez, Project Manager, UNIDO

Mr. Pierre Quiblier, Programme Officer, Chemicals and Health Branch, Economy Division, United Nations Environment (UNEP)

Ms. Carolyn Vickers, Coordinator, Chemical Safety, Department of Public Health, Environmental and Social Determinants of Health, World Health Organization

Mr Robert/Bob Diderich, OECD

Ms. Brenda Koekkoek, SAICM Secretariat

Mr. José De Mesa Alcalde, SAICM Secretariat

Mr. Jonathan Krueger, IOMC Secretariat

Ms. Irina Zastenskayai, Technical officer for chemical safety, European Centre for Environment and Health, WHO Bonn office

Mr. Makoto Takahashi, Senior Consultant, International Consulting Division, EX Research Institute Ltd., Japan

Mr. Shinichiro TSUNODA, Consultant, Environmental Policy Research Division, EX Research Institute Ltd., Japan

Mr. Yuma HIGUCHI, Consultant, International Consulting Division, EX Research Institute Ltd., Japan

Mr. Masayuki Sekiguchi, Ministry of Environment, Japan

Ms. Valérie Frison, OECD

Ms Sylvie Poret, OECD

Ms Suhad Al-Khassawneh, Poison Information Specialist, National Drug & Poison Information Center, Jordan University Hospital

Mr Diego Escobar - Coordinator of the group of chemicals and hazardous waste, Ministry of Environment and Sustainable Development of Colombia

Mr Rodolfo Alarcón, member of the group of chemicals and hazardous waste, Ministry of Environment and Sustainable Development of Colombia

Mr Juergen Helbig, DG Environment, European Commission

Mr Quincy Edwards, Member of the Pesticide and Toxic Chemicals Control Board in St. Kitts and Nevis

Mr. Baogen Gu, Pesticide Management team leader, Plant Production and Protection, FAO

Ms. Beatrice Grenier, Pesticide Management specialist, Plant Production and Protection, FAO

Ms. Giulia Calcagnini, Budget and Operations officer, Plant Production and Protection, FAO

F. List of documents reviewed

- Project document: Grant Application Form, Thematic Programme for Environment and Sustainable Management of Natural Resources. “IOMC Toolbox for decision making in chemicals management – Phase III: From design to action”

- Logical framework

- Agreements

- 1st Progress Report by WHO in collaboration with FAO, ILO, UNEP, UNIDO, UNITAR, and OECD, covering the period 1 January – 31 December 2018 and its annexes

- First annual financial statement covering the period 1 January – 31 December 2018

- The evaluation reports of Phase I and II

- IOMC. IOMC Toolbox for Decision Making in Chemicals Management. http://iomctoolbox.oecd.org (including introductory video, promotion material and tutorial; key functionalities; and management schemes).

- FAO Pesticide Registration Toolkit. http://www.fao.org/pesticide-registration-toolkit/en/

- UNIDO Chemical Leasing Toolkit. http://chemicalleasing-toolkit.org/

- OECD Environmental Risk Assessment Toolkit. http://envriskassessmenttoolkit.oecd.org/

- WHO Human Health Risk Assessment Toolkit

- UNIDO Toolkit on innovative approaches to sound management of chemicals and chemical wastes

- IOMC. IOMC Toolbox for Decision Making in Chemicals Management. Project Management Group Meeting Minutes (various).

- IOMC. Training on the IOMC Toolbox for Decision Making in Chemicals Management. Training Guidelines.

- Promotion and Training Event Questionnaires

- Feedback Survey and Training Event Follow-up Questionnaire on IOMC Toolbox Training events and narrative workshop reports

- Data from IOMC Toolbox website

- Content from face-to-face events and webinars

- Usability study
- Progress Reports on IOMC Toolbox Technical Work to the IOMC
- Minutes from the IOMC meetings

G. Evaluation question matrix

Evaluation Design and Question Matrix for the Midterm Evaluation of Phase III of the IOMC Toolbox Project

Boru Douthwaite (PhD), Selkie Consulting Ltd., Cushalogurt, Kilmeena, Westport, Ireland

5th December, 2019

Introduction

The IOMC Toolbox project (the "Project") for Decision Making in Chemicals Management was designed to assist countries and (sub) regions in developing countries and countries with economies in transition worldwide with identifying the most relevant, efficient and appropriate national actions to respond to chemicals management problems. The intended impact is to strengthen the sound management of chemicals in many developing countries and countries with economies in transition.

The Project has completed two phases already. Phase I focussed on the development of a proof-of-concept version of the Toolbox itself. During Phase II the Toolbox was pilot-tested, further developed and its functionalities were improved. At the end of Phase II, the Toolbox was promoted to over 3,000 policy-makers worldwide but focussing on developing countries and countries with economies in transition. The objective of Phase III, from design to action, is to continue improving functionalities and broadening the scope and application of the Toolbox. In addition, Phase III includes a strong capacity building component to broaden awareness of the Toolbox and enable countries to implement the tools available in the Toolbox. This will be achieved by conducting a series of webinars and face-to-face capacity building workshops for relevant policy-makers and professionals.

All activities of the Project are targeted at developing countries and countries with economies in transition. Today, much of the scientific know-how, technical insights and practical experience regarding the development and implementation of chemical management systems lie with developed countries especially the OECD member states. The Toolbox wants to provide a way to transfer this knowledge while addressing the needs and capacities of the recipient countries.

For the development and implementation of the Toolbox in Phase III of the project, the IOMC brought together nine intergovernmental organisations actively involved in chemical safety: WHO, FAO, ILO, UNDP, UNEP, UNIDO, UNITAR, and OECD. As such the IOMC aims to strengthen international cooperation in the field of chemicals management.

Purpose, Users and Objectives

Phase III of the Project calls for an independent, external evaluation to be undertaken after the phase's mid-point. The purpose of the mid- term evaluation is: 1) to assess progress towards achieving the project's planned results; and, 2) make recommendations for changes to project implementation based on learning what has worked and what has not. The main expected users of the mid-term

evaluation are the Project Management Group, staff involved in implementing the project and the European Commission as the main donor. The objective of the evaluation is to assess the project performance against relevance and effectiveness criteria to generate a set of findings, conclusions and recommendations to meet both accountability and learning expectations. The evaluation will review project performance against the indicators and measures of the logframe, and the validity of causal assumptions that constitute the project's implicit theory of change. It will review the extent to which recommendations made in the final evaluation of Phase II have been implemented. It will also review institutional and financial arrangements are affecting implementation.

Methodology

The evaluation will answer agreed evaluation questions and sub-questions relating to relevance and effectiveness, using judgement criteria, sources of information and analytical techniques described in an evaluation matrix, see Table 1.

Table 1: Evaluation matrix

Questions	**Judgement criteria / indicators**	**Sources of data and methods of analysis**
Relevance		
EQ1: Is the project relevant to the targeted global and country specific needs and priorities? Is it relevant to intended users and relevant to?		
1.1 Does the project support the 2030 Agenda for Sustainable Development and more specifically help member states achieve Goal 12?	The degree to which project outcomes align with SDG 12 and others	Review of relevant documents describing stated project outcomes and goals on the one hand, and the SDGs on the other
1.2 To what extent and how does the project support the implementation of SAICM?	- Expected and achieved project outcomes are relevant to one or more of the SAICM core activity areas - Recognition by SAICM of the project's relevance to SAICM objectives	- Desk comparison of SAICM core activities against project objectives - Analysis of online survey data about relevance and use of project workshops - Collated expert opinion - Review of project theory of change
1.2 To what extent is the project aligned with the European Union strategic objectives?	The degree to which the project outcomes and goal align with EU strategic objectives	Review of relevant documents describing stated project outcomes and goals on the one hand, and the EU strategic objectives on the other

1.4 Is the project targeting the right users to achieve its objectives?	- > 70% of participants attending workshops fit project's definition of an intended user - The project's definition is consistent with its (implicit) theory of change	- Analysis of workshops' participant lists - Making the project's causal assumptions explicit in a ToC diagram and then checking the causal logic against the roles of workshop participants
1.5 How relevant are the workshops and the toolbox and its contents to intended users' specific country needs? Have changes enacted in Phase III made it more relevant?	- Workshop participants indicate relevance through answers to online survey questions on relevance, use and connections made: - Trainers participants indicate relevance and use in interviews - Evidence of changes to the toolbox and content to make them more relevant, as recommended by the Phase II final evaluation	- Analysis of online survey of relevance and adoption - Analysis of interviews with trainers and workshop participants - Analysis of changes being made as recorded in interviews and project documentation (e.g. PMG meetings / progress report) against recommendations made by the Phase II final evaluation
Effectiveness		
EQ2: To what extent is the project producing planned outputs and making progress towards attainment of outcomes?		
2.1 To what extent is the project coordination / financial management and the organizational structure supporting or hindering the delivery of project results?	Against the expectation that the project coordination / financial management and organizational structure is fit for purpose	- Analysis of project documents (proposal and PMG minutes) - Analysis of the response of PMG members to this question
2.2 Are the causal links in the project's theory of change valid? Does the theory of change require changes to better reflect the outcomes that are starting to emerge?	Against the expectation that the theory of change (derived from the project document) is largely valid, and some changes will be necessary to reflect what is starting to happen.	- Scoring of the strength of the causal assumptions that constitute the theory of change, by the evaluation team based on an overall analysis of project progress towards outcomes, together with a written justification for the scores - Identification of new causal links / assumptions based on analysis of emerging outcomes

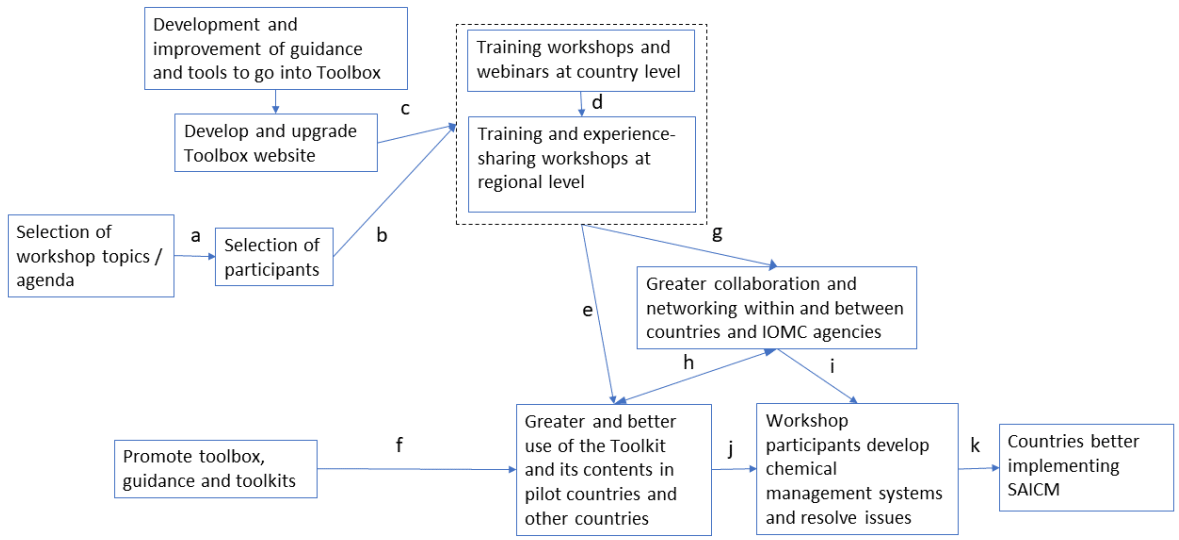
2.3: To what extent and how are intended users making use of the workshops, the Toolbox and its content? Is the use helping them to address national chemical management challenges?	- Evidence that Toolbox elements are being used against the expectation 20 countries will be implementing elements of the Toolbox as a result of project activities, by the end of the project - Explanation of how Toolbox content is being used, to what effect from online survey data and interviews.	- Analysis of meeting reports - Analysis of online survey data - Analysis if toolkits are being used to store and access information - Expert commentary on the new additions -Web statistics?
2.4 Is the project reaching its intended users?	The project is on track to achieve its capacity development and promotion targets: - Attended F2F CD national or regional events (target is 300) - Attended Webinars (target is 300) - Overall target for promotion and training (target is 2000) - Promotion at international events (target is 1700) - Workshop participants have become involved in a community of practice that is working to reach other people	- Analysis of community of practice reports, observation (e.g., webinars and COP3), event reports and attendance lists, online survey data, interviews with key informants involved in COP, F2F CD events and webinars - Logframe data review (to the extent possible) - Analysis of the views of key informants
2.5 To what extent are the Toolbox users sharing their experience with other stakeholders in their region and as such multiply impact beyond single users or countries?	Evidence of a vibrant Community of Practice in operation - Country experiences shared at sub-regional events (on track to reach 6 sub-regional workshops)	- Review of Community of Practice correspondence - Interviews with Community of Practice members - Analysis of results of online survey
2.6 To what extent is the project advancing gender equality and the empowerment of women and meeting the needs of other vulnerable and marginalized groups?	- Gender mainstreaming, and the way the project will deal with it, is described in the project document - The project has taken steps to do what it has committed to do - Within the tool box there is guidance to help users address gender and social inclusion issues relating to the management of chemicals	Review of project document and project progress, against UN and EU gender guidelines

Analytical and data collection tools
Project theory of change

The project proposal described the intervention and results' chain logic as a way of expressing the project's theory of change. The evaluation team made this logic explicit in the form of a causal diagram, with an emphasis on clearly articulating the causal steps linking project activities, outputs and outcomes (see Figure 1).

The evaluation team will use the theory of change to EQ1.7 on project relevance, and revise it if necessary, based on findings.

Figure 1: Project theory of change as derived from the intervention logic and results chains described in the project document



Assumptions underpinning the theory of change (letters refer to the diagram):

a. Topics chosen are relevant to the country/region and motivate participants to attend
b. Participants who are responsible for developing and implementing chemical management systems are selected
c. Improvements to the toolbox, the addition of new tools and the upgraded training strategy make it easier and more attractive for a broader set of participants to use the toolbox and toolkits
d. Outcomes and learning from country-level workshops informs the design of sub regional workshops
e. Workshops and webinars work to build capacity in a context in which there is sufficient opportunity and motivation to allow for greater use of toolbox and contents
f. Promotion at international events results in participants taking the toolbox back to their respective countries and using it
g. Workshops work as platforms that provide opportunities for collaboration and networking among participants
h. Greater collaboration and networking leads to greater and better use of toolbox and contents, and vice versa, (in part through a community of practice)

i. Greater collaboration between workshop participants and IOMC agencies contributes to the development of chemical management systems
j. Greater and better use of the Toolkit and its contents contributes to the development of new and improved chemical management systems and resolve issues
k. New and improved chemical management systems contribute to SAICM reaching its objectives

Online survey

The evaluation team will develop and invigilate an online survey to be sent to all participants in Project workshops. The questions that the survey will help answer are indicated in the third column of the evaluation question matrix (Table 1).

Face to face and Skype interviews

The evaluation team aims to talk to:

- Project Management Group members from each participating agency
- The officer overseeing the project working for the EC (the main donor)
- Participants in Project workshops (chosen on the basis that they attended the MINAMATA COP in Geneva at the end of November 2019, and were prepared to talk to the evaluation team).
- Representatives of IOMC and SAICM Secretariats knowledgeable about the Project
- Representatives of initiatives that have participated in Project workshops
- Other key stakeholders identified during the data collection and early data analysis phases

Case Studies

The evaluation will construct four case studies describing Project intervention in three of its 15 pilot countries and one case study on one of its five planned-for regional workshops. The cases will allow a deeper dive into how Project interventions were interpreted and used by participants as part of their on-going assignments and projects, within a particular political and institutional context. The case studies will particularly help in the review of the project theory of change (EQ 1.7).

Challenges and limitations

Foreseen difficulties or challenges in collecting data:

In response to the final evaluation of Phase II, the IOMC Toolbox was rebuilt to be ready for relaunch in January 2018. Delays mean that the Toolbox will not be relaunched until first quarter of 2019, over a year late and well after the midpoint of the Project. The mid-term evaluation will not be able to assess the change made and their effect on uptake and use of the Toolbox. Several of the logframe indicators and targets relate to the Toolbox, which also cannot be assessed. As a result, the evaluation will focus on the relevance and use of the content of the Toolbox.

This and other delays have meant that less than one third of the Phase III budget has been spent. In this regard the Project has not yet reached its mid-point, and the mid-term evaluation is early.

In terms of project duration, the evaluation is being carried out in months 23 to 25 out of a 36-month project. In this regard the mid-term evaluation is late, and in response the time given to the evaluation has been reduced. Expectations for what this evaluation can usefully produce need to be calibrated

accordingly, i.e., to expect an evaluation that is somewhat curtailed in scope by shortage of time and by what the Project has been able to achieve to date.

Results from the online survey will be used to answer a number of evaluation questions. Previous response to online surveys by workshop participants has been very low, and there is a risk that the same will happen. The evaluation team will take steps to mitigate the risk, including following up on invitations sent out.

Evaluation timeline and deliverables

Deliverable	**From**	**To**	**Deadline***
Evaluation design/question matrix	Evaluator	Evaluation manager	29 November 2019
Comments on evaluation design/question matrix	Evaluation manager/ Project management Group	Evaluator	6 December 2019
Zero draft report	Evaluator	Evaluation manager	20 January 2020
Comments on zero draft	Evaluation manager	Evaluator	27 January 2020
Draft report	Evaluator	Evaluation manager/ Project management Group	3 February 2020
Comments on draft report	Project management Group	Evaluation manager	17 February 2020
Final report	Evaluation manager	Evaluation manager/ Project management Group	28 February 2020

* May be subject to adjustment based on consultation between UNITAR and the consultant.

H. Evaluation consultant agreement form

Annex: Evaluation Consultant Code of Conduct and Agreement Form

The evaluator:

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. Is responsible for his/her performance and his/her 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[1]

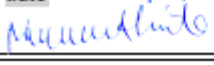
Agreement to abide by the Code of Conduct for Evaluation in the UN System

Name of Consultant: Boru Douthwaite

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 and I declare that any past experience, of myself, my immediate family or close friends or associates, does not give rise to a potential conflict of interest.

Signed at *place* on *date* Westport, Ireland on 16/11/2019

Signature: 

[1] www.unevaluation.org/unegcodeofconduct