

I. Cover page

**UNITED NATIONS ECONOMIC COMMISSION FOR
EUROPE**

**Project “Strengthening Industrial Safety in Central Asia
through the Implementation of and Accession to the
UNECE Convention on the Transboundary Effects of
Industrial Accidents”**

EVALUATION REPORT



Oil well accident in Kazakhstan /You tube, 2011

Period of evaluation: 1 October to 15 December 2018

Prepared by: Dusan Zupka, Independent Consultant and Evaluator

**The evaluation has been commissioned by: the secretariat of the UNECE Convention on
the Transboundary Effects of Industrial Accidents**

II. Table of Contents and Abbreviations

I. Cover page	1
II. Table of contents and abbreviations	2
III. Executive summary	3
IV. Introduction	5
V. Findings	12
VI. Conclusions and recommendations	30
VII. Annexes	33

ABBREVIATIONS AND TERMS

CAC	Central Asia Countries
CAREC	Central Asia Regional Economic Cooperation
CESDRR	Centre for Emergency Situations and Disaster Risk Reduction
CIS	Commonwealth of Independent States
COP	Conference of the Parties
CONVENTION	UNECE Convention on the Transboundary Effects of Industrial Accidents
DAC	Development Assistance Committee
DRR	Disaster Risk Reduction
ICIS	Interstate Council for Industrial Safety
OSCE	Organization for Security and Cooperation in Europe
PSC	Programme Support Cost
SDG	Sustainable Development Goals
SDC	Swiss Development Cooperation
UNECE	United Nations Economic Commission for Europe

III. Executive summary

The overall objective of this evaluation was to conduct an external assessment of the project “Strengthening industrial safety in Central Asia through the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents” (thereinafter “Project”) in order to assess the extent to which the project achieved its intended objectives. The exercise was undertaken by an external evaluator in October-December 2018. In addition, evaluator attended the Sub-regional Workshop – the last substantive activity organized in the Project framework, held in Almaty on 25-26 September 2018.

For each of the evaluation criterion a cluster of questions was established, including scores in order to assess the levels of success: high, partial, little and not at all. The evaluation process included application of both quantitative and qualitative methods and a variety of evaluation tools including desk review, analysis of the pertinent document, the collected survey information as well as interviews and focus groups sessions.

The evaluation generated a number of findings, conclusions and recommendations, the most important of which are summarized below:

KEY FINDINGS:

1. Project results were highly and in a few cases partially consistent with the sub-regional and national priorities and the needs of target groups in Central Asia. There was a high degree of congruence between the perception of what was needed by the Project planners and the perception of what was needed by as seen by project beneficiaries in the recipient sub-region and its countries.
2. Project activities have highly and in a few cases partially contributed to expected results, to the main objective of the Project and to the overall objective of the Industrial Accidents Convention. Project activities have been fully implemented.
3. Human and financial resources allocated to the Project were used efficiently and wisely to achieve expected results. Planned activities were with a very few exceptions implemented according to original schedule.
4. The Project highly contributed to enhancing capacities for assessment of industrial safety and the development of national action plans for the implementation of the Strategic Approach under the Convention’s Assistance Programme.
5. While consideration of gender equality and the empowerment of women is not explicitly addressed in the text of the UNECE Industrial Accidents Convention, the Project paid attention to this subject through women’s participation in national meetings, sub-

regional workshop and significant involvement in the development of main Project's outputs (implementation guide, national action plans and self-assessments).

KEY CONCLUSIONS:

1. The Project made a significant contribution to increased understanding of key requirements of the UNECE Industrial Accidents Convention in Central Asia.
2. Consideration of gender equality and the empowerment of women was reflected in active participation of women in the national seminars and sub-regional workshop, as well as in their significant involvement in the development of the national self-assessments, action plans and implementation guide.
3. Project activities enhanced considerably capacities for assessment of industrial safety and development of national action plans for the implementation of and accession to the UNECE Industrial Accidents Convention in all five countries of the Central Asia sub-region.

KEY RECOMMENDATIONS:

Project stakeholders from recipient countries all expressed the need and their enthusiasm for continued UNECE support in strengthening the implementation of and accession to the UNECE Industrial Accidents Convention. Key recommendations of a strategic nature for the design of a second phase of the Project are:

1. **The UNECE needs to support the CAC in addressing the challenges linked to the implementation of and accession to the Convention with a long-term support**
2. **The UNECE Convention's secretariat needs to continue communications with the national authorities responsible for industrial safety and transboundary cooperation and has to involve all industrial safety actors in the future similar projects design and implementation to maintain the momentum**
3. **The UNECE needs to promote the message that effective industrial accidents hazard and risk management is linked to development planning**
4. **The UNECE Convention's secretariat should maintain a continued dialogue with the sub-regional Centre for Emergency Situation and Disaster Risk Reduction (CESDRR), CIS ICIS and other relevant regional and sub-regional partners**
5. **For the future similar projects UNECE should encourage and promote the development and/or improvement of existing industrial safety governance arrangements in the way which could facilitate the implementation of and accession to the UNECE Convention**

6. The establishment and continuous holding of National and Sub-regional Policy Dialogues for industrial safety could be an effective way to provide support to beneficiary countries

Complete findings, conclusions and recommendations are outlined below.

IV. Introduction

During the Seventh “Environment for Europe” Ministerial Conference held in Astana in 2011, the ministers from the UNECE region invited countries to ratify and implement the relevant multilateral environmental agreements and stressed the role of UNECE in assessing the obstacles and assisting countries to ratify and implement these agreements. Consequently, the secretariat of the UNECE Convention on the Transboundary Effects of Industrial Accidents organized a number of events aiming at enhancing the capacities of the countries with economies in transition, including in Central Asia, such as the workshops on the identification of hazardous activities in Kyrgyzstan, Tajikistan and Uzbekistan in 2011, a workshop on the Convention and its Assistance Programme in Kyrgyzstan in 2013 and a sub-regional workshop on industrial accidents prevention in Kazakhstan in 2015.

For many countries with economies in transition, introducing and enforcing national regulations to ensure industrial safety represents a challenging issue. To address these challenges faced, notably the need to strengthen their regulatory and institutional frameworks and to increase human resources capacities, the Assistance Programme was adopted by the by the Conference of the Parties to the Convention at its third meeting (Budapest, 27-30 October 2004). It was developed to enhance the industrial safety of countries with economies in transition from the UNECE region, in particular through support to their efforts to ratify, accede to and implement the Industrial Accident Convention. Particular challenges faced by countries in the Central Asia with regard to implementing the Industrial Accidents Convention have pertained to:

- Establishing adequate institutional structures and coordination mechanisms between national authorities;
- Establishing bilateral cross-border coordination with neighbouring countries;
- Implementing legislation and policy measures to enhance industrial safety.

Following the adoption of the Assistance Programme, a High-level Commitment Meeting was held in Geneva in December 2005. At that meeting, the heads of delegation of 17 countries¹ in

¹ The following countries from Eastern and South-Eastern Europe, the Caucasus and Central joined the Assistance Program: Armenia, Azerbaijan, Belarus, Bosnia and Herzegovina, Bulgaria, Croatia, Georgia, Kazakhstan,

Eastern Europe and the Caucasus and Central Asia adopted a Declaration through which the countries joined the Assistance Programme and committed themselves to:

- Address the challenges faced, notably the need to strengthen their regulatory and institutional frameworks and to increase human resource capacities;
- Make the necessary efforts to implement the Convention's national tasks and fulfil its multilateral obligations;
- Improve industrial safety by implementing appropriate safety measures for activities involving hazardous substances;
- Report on the current state of implementation by submitting a national implementation report;
- Host fact-finding missions;
- Prepare individual country reports and an overall report on the implementation of the preparatory phase of the Assistance Programme.

Through this Declaration 4 out of 5 countries in the Central Asia committed their governments to implementing the Convention, which was an important step within the Assistance Programme. As set out in the Declaration, the Assistance Programme is divided into two phases: a preparatory phase, comprising the expression of high-level commitment, and an implementation phase, in which the basic tasks² that have to be undertaken to progress towards the full implementation of the Convention are accomplished.

At its fifth meeting (Geneva, 25-27 November 2008), the Conference of the Parties adopted the Strategic Approach for the implementation phase of the Assistance Programme and invited beneficiary countries to apply it. The Strategic approach provides these countries with an opportunity to continuously improve the level of implementation of the Convention through its cyclic mechanism. The cyclic mechanism distinguishes three steps:

- Step 1: analysis and examination of the level of implementation – identification of shortcomings and challenges (i.e., development of self-assessments);
- Step 2: definition of ways forward and a time frame to eliminate shortcomings and challenges (i.e., development and implementation of a national action plan);
- Step 3: assessment of results achieved and update of the self-assessment and if necessary, the national action plan.

At the sixth meeting of the Conference of the Parties (The Hague, 8-10 November 2010), the document on benchmarks for the implementation of the Convention (Benchmark document) (ECE/CP.TEIA/2010/6)³ was adopted. The document sets out indicators and criteria for self-assessment of progress achieved in the implementation of the Convention along with a form for

Kyrgyzstan, Republic of Moldova, Romania, Russian Federation, Serbia and Montenegro, Tajikistan, the former Yugoslav Republic of Macedonia, Ukraine and Uzbekistan. In addition, Montenegro became an independent state and Turkmenistan showed interest in the Convention; The Conference of the Parties to the Convention decided in November 2012 to invite these two countries to join the Assistance Program.

² Available from: <http://www.unece.org/env/teia/preparatory1.html>.

³ Available from: http://www.unece.org/env/teia/cop_c1.html.

monitoring. Furthermore, it stipulates the development of a national action plan to define the ways forward and the time frame to eliminate shortcomings.

The Ninth Meeting of the Conference of the Parties to the Convention (Ljubljana, 28-30 November 2016) launched the Project⁴ aimed to further support the countries in Central Asia including Kazakhstan (the only Party to the Convention in the sub-region), Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan in enhancing their industrial safety. The Project entered its active phase in 2017 with the National Expert Group Meetings taking place in each of the beneficiary countries throughout 2017 – 2018 and the final sub-regional workshop in September 2018. The Project has been managed by the UNECE Secretariat for the Convention. The financial support was provided by the Russian Federation, the in-kind expert support was provided by both the Russian Federation and Belarus. The Project budget is USD 265,550 including 13 % of Programme Support Costs (PSC). Including interest income, the total Project budget, including 13% PSC, increased to USD 269,392.

The Convention's Working Group on Implementation in the 2015-2016 biennium report made the reflections that:

- For Central Asia there seems to be generally less information available than for all other sub-regions.

The Tenth Meeting of the Conference of the Parties to the Convention (Geneva, 4-6 December 2018) highlighted the achievements of the Project. During a roundtable discussion on the Assistance Programme, representatives of the beneficiary countries, including the Deputy Minister of Emergency Situations of Uzbekistan, the Deputy Head of the State Control over Safety of Works in Industry and Mining under the Government of the Republic of Tajikistan, the national focal points from Kazakhstan (Ministry of Investment and Development) and Kyrgyzstan (State Committee for Industry, energy and Subsoil Management of Kyrgyz Republic), highlighted the achievements and progress made due to the Project, namely the identification of the current status of industrial safety and existing gaps, while also referring to remaining needs. The Conference of the Parties of the Convention, when taking note of and endorsing the report on the assistance activities carried out in the biennium 2017-2018, welcomed in particular the completion of the activities under the Project on Strengthening Industrial Safety in Central Asia, and its results achieved, including the submission of self-assessments and action plans by all countries in that sub-region, and the development of an implementation guide on the Convention for Central Asia.

The focus of the Project was in line with the aim of the biennial programme of the UNECE Strategic Frameworks 2016-2017 and 2018-2019 by enhancing regional cooperation and integration of the five Central Asia countries (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan) and strengthening the implementation of UNECE multilateral environmental commitments and increased geographical coverage in the field of effective

⁴ While the Project formally started in March 2016, the launch in November 2016 can be regarded as a launch of the operational phase of the Project and the organization of its activities. The preparatory phase, starting in March 2016, led to the identification of relevant authorities, and official nominations of national project coordinators and experts from the Russian Federation and from Belarus.

response to, preparedness for and prevention of industrial accidents. It was implemented under the sub-programme dealing with environmental challenges, specifically under the UNECE Industrial Accidents Convention and its work plans (2015-2016, 2017-2018 and 2019-2020), as approved by the Conference of the Parties (COP) in its biennial meetings. Further to its biannual work plans, the Convention disposes of a long-term strategy (adopted at the sixth meeting of the COP in 2010). A revised long-term strategy for the Convention until 2030 developed by its Bureau (ECE/CP TEIA/2018/5) was adopted at the Tenth meeting of the COP (Geneva, 4-6 December 2018).

The main objective of the Project was to enhance the implementation of and accession to the UNECE Industrial Accidents Convention in Central Asia. As stated in the Technical Cooperation Project Document, the expected results proposed for achieving the project objective were:

- 1) Increased understanding of key requirements of the UNECE Industrial Accidents Convention;
- 2) Enhanced capacities for assessment of industrial safety and development of national action plans for the implementation of and accession to the UNECE Industrial Accidents Convention.

The United Nations Economic Commission for Europe (UNECE)'s overall orientation is guided by its Strategic Framework. The Strategic Frameworks applicable for the Project's duration cover the periods 2016-2017 and 2018-2019⁵. Its biennial programme plan aims to promote regional cooperation and integration as a means of achieving sustainable development in the region under the responsibility of the UNECE. The programme strives to promote an integrated approach to sustainable development and the effective implementation of the 2030 Agenda for Sustainable Development by strengthening synergies and linkages between its eight sub-programmes: environment, transport, statistics, economic cooperation and integration, sustainable energy, trade, forestry and timber and housing/land management/population. Each sub-programme is aligned with its specific Sustainable Development Goals (SDG) and related targets. The UNECE programme promotes regional cooperation and integration through:

- Policy dialogue
- Normative work
- Technical cooperation

Gender equality and the empowerment of women are being considered as high-ranking issues in line with the United Nations System-wide Action Plan and Sustainable Development Goal 5.

A. Purpose

⁵ A/71/6/Rev.1 and A/69/6/Rev.1

The purpose of this evaluation was to assess to which extent the Project succeeded in achieving its intended objective - strengthening the implementation of and accession to the UNECE Convention on Industrial Safety in all five beneficiary countries of the Central Asia sub-region (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan). The evaluation also assessed the relevance and effectiveness of outputs as well as operational efficiency and impact. This report presents findings of the final evaluation, conclusions, recommendations and lessons learned based on analysis of relevant documents and interviews with 12 Project stakeholders and focus groups formed by beneficiaries.

B. Scope

The scope of the evaluation was directed at reviewing and analysing the relevant documents and consultations with main stakeholders from all five countries of the Central Asia sub-region (Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan), international experts of the Project who were providing a guidance to the national experts during the Project implementation, as well as selected staff members of the UNECE secretariat based in Geneva. It focuses exclusively on activities covered by this Project since its inception (formally in March 2016, launch at COP 9 in November 2016) until March 2019. The scope of evaluation also covered gender aspects in terms of female involvement in all critical meetings and development of main outputs. The evaluation considered the relevance, effectiveness and impact of the Project at sub-regional level as well as in the beneficiary countries.

C. Methodology

The methodology was tailored in accordance with the UNECE Evaluation Policy and Guide in order to provide answers to questions, such as:

- (a) Is the Project doing the right thing?
- (b) Is the management of the Project doing it right?

Mission reports from Project meetings and workshops, pertinent evaluation reports, draft implementation guide for Central Asian countries, self-assessments and national action plans drafted in all five beneficiary countries have been reviewed and assessed. Participation of the evaluator in the Sub-Regional Workshop, in Almaty on 25-26 September 2018 facilitated data and information collection and allowed for face-to-face interviews with most national and international experts as well as with small focus groups from the countries of the sub-region. Electronic questionnaire, including evaluations criteria and specific questions was prepared in both English and Russian. This questionnaire was sent to those stakeholders who could not be interviewed in person.

In accordance with the Development Assistance Committee (DAC) criteria for evaluation of technical assistance projects, evaluation focus was on relevance, effectiveness, efficiency and impact of the Project activities implemented since the launch of the Project until present.

The evaluation methodology duly integrated these main criteria for evaluation in order to:

- Review the relevance of activities in light of UNECE's broad programme objectives
- Assess the effectiveness of activities in achieving expected results
- Assess the efficiency with which these activities are implemented
- Assess the impact of the implemented work

For each of the evaluation criteria, a cluster of questions was established, including the assessment of the levels of success: high, partial, little and not at all. After answering the questions with a tangible evidence, users of the evaluation should have the information required for assessing the degree of achievement of the planned results/activities as well as for an informed decision-making concerning the future actions and/or adding inputs to UNECE's knowledge base.

Both the quantitative and qualitative evaluation methods were employed during the evaluation period. To this end different tools were applied, such as for example, desk review and analysis of available project data and documents, the collected survey information as well as data and information collection interviews (individual and in small focus groups).

The main sources of evidence concerning the level and quality of the Project achievements were the desk review exercise, interviews with the key stakeholders from the recipient countries, with the international consultants and UNECE staff involved in the Project guidance and management, focus groups meetings with the stakeholders from the recipient countries and electronic surveys carried out with those stakeholders who could not be interviewed in person. The target groups for the interviews and focus group meetings were formed from the participants of the sub-regional workshop held in Almaty who have been involved in the Project activities in a constant and substantive manner. The main target groups were government officials and experts from the national competent and enforcement authorities in the area of industrial accidents prevention, preparedness and response. The Project also involved representatives of the private sector, civil society and academia. These target groups were chosen as the ones that can share and apply the knowledge they gained through the Project for the benefit of communities at risk of suffering from the consequences of industrial accidents. These are also the policy and decision-makers at the national level who, thanks to their strengthened capacities and increased awareness of the Convention and its benefits, can identify and implement measures for enhanced industrial accidents prevention, preparedness and response.

The results of desk review, interviews, focus groups meetings and electronic surveys were synthesized and aggregated by main issues. Several sources of evidence were triangulated paying attention to areas of divergence and convergence. Complete list of the reviewed documents belonging to sources of evidence is in Annex 2.

For evaluation of a balanced gender consideration the methodology was tailored in accordance with the gender-sensitive and gender-inclusive approach. This technique paid attention to respect of gender equality in sense that both men and women have the freedom to develop their

personal abilities and make choices without the limitations set by stereotypes, rigid gender roles, or prejudices

The limitation factor of the evaluation was a short time slot allotted for the face-to-face interviews with the key stakeholders during the sub-regional workshop. This limitation was overcome by a follow-up actions through internet-based communication means. Another limitation was the situation that given the nature of the Project it was not feasible to apply for measuring the industrial safety improvements broadly accepted formula for assessing the level of industrial safety. According to this formula, the status of industrial safety can be measured by the level of industrial accidents risk as follows:

RISK = HAZARD x VULNERABILITY x EXPOSURE

It can be improved by risk reduction activities including reduction of occurrence and magnitude of industrial hazards, vulnerability and number of people and assets being exposed to accident harmful effects. However the scope of the Project did not cover the assessment of vulnerability and exposure.

Evaluation criteria, key questions for each criterion, data sources, data collection methods and indicators of success are outlined in the following evaluation matrix:

Evaluation matrix:

Evaluation criteria	Key questions	Data sources	Data collection and analysis method	Indicators of success
Relevance	See in the following chapter - Findings	Project documents and reports, internal monitoring documents, stakeholders' opinions, self-assessments, national action plans	Interviews, surveys, focus groups session, direct observation, data analysis, synthesis, triangulation	Extent to which expected results or outputs are consistent with sub-regional and national priorities and the needs of target groups. Degree of congruence between the perception of what is needed by the Project planners and the perception of what is needed as seen by beneficiaries.
Effectiveness	See in the following chapter - Findings	Project documents and reports, internal monitoring documents, stakeholders' opinions, self-assessments,	Interviews, surveys, focus groups session, direct observation, data analysis, synthesis, triangulation	Extent to which expected results and activities have been achieved. Extent to which project activities have contributed to the expected results, the main objective of the Project and the overall objective of the Convention.

		national action plans		
Efficiency	See in the following chapter - Findings	Project documents and reports, internal monitoring documents, stakeholders' opinions, self-assessments, national action plans	Interviews, surveys, focus groups session, direct observation, data analysis, synthesis, triangulation	Extent to which resources have been used wisely to achieve expected results. Extent to which activities have been implemented according to planned schedule.
Impact	See in the following chapter - Findings	Project documents and reports, internal monitoring documents, stakeholders' opinions, self-assessments, plans of action	Interviews, surveys, focus groups session, direct observation, data analysis, synthesis, triangulation	Extent to which the Project has delivered benefits to the beneficiary countries in line with the Convention objective and its Assistance Programme's Strategic Approach.



Participants of the Project Sub-regional Workshop, Almaty, 25-26 September 2018. Female participants represented 37% of attendance.

V. Findings

The critical information for identification of a detailed list of findings related to the Project design, implementation and results was generated through the reading and analysis of all available background documents, electronic survey, organization of face-to-face interviews and focus groups sessions. These activities provided solid information about the Project activities and results achieved. Information and data received were assessed against the evaluation criteria of relevance, effectiveness, efficiency and impact. For each of the evaluation criteria a set of 3-5 more specific questions was designed in harmony with Project background. Descriptive assessment based on the feedback received from stakeholders for each specific question was then categorized according to the following qualification ratings:

Ratings	Abbreviations
Highly/Fully	H
Partially	P
Little	L
Not at all	N

RELEVANCE

- 1) Question: How relevant was the Project for the needs and priorities of countries in Central Asia?

On the one hand the deterioration of economic, social and environmental conditions in the Central Asia countries (CAC) following the break-up of the Soviet Union resulted in an important decrease of resources available for industrial safety. On the other hand the industries with potential of causing an environmental emergency are developing quickly in Central Asia. In several meetings organized by UNECE in the context of the Convention, CAC underlined the need to improve the industrial risk management in all cycles of industrial accidents management (prevention, preparedness, response, recovery) as one of the priority issues. Only one of five countries, Kazakhstan became a Party of the Convention so far. Countries with smaller number of hazardous industrial facilities, such as Tajikistan and Kyrgyzstan, considered the Project partially compliant with the national priority needs. For Kazakhstan, Uzbekistan and Turkmenistan the relevance of the Project for needs and priorities of their respective countries was high.

The Convention's governing bodies and the Convention secretariat had knowledge of the difficulties of CAC in the area of industrial safety, which were raised by the countries during intergovernmental and expert meetings in the framework of the Convention. During the discussions held regularly in the sessions of the Convention's Working Group on Implementation and the Bureau, the need for further support for counties of Central Asia was discussed. In particular, the Convention's Working Group on Implementation had asked to focus on non-Parties under the Convention and to increasingly involve them in the Convention's work and improve their level of industrial safety. Central Asia is the only UNECE sub-region where the majority of countries are non-Parties.

The needs of CAC were thus well known prior to the Project inception and the project formulation was directed accordingly. It was conceived around the Assistance Programme's Strategic Approach and its six critical areas of work. Thus, no separate needs assessment was needed prior to the launch of the Project since the needs were already well known to the Convention's governing bodies, Parties and secretariat through the conduct of previous activities under the Assistance Programme as well as from previous COPs.

While the Ministers of Disaster Management and Emergency Situations of CAC are meeting every year to discuss challenges and ways forward in achieving targets and priorities of the Sendai Framework for DRR, focusing on improved understanding and management of natural disasters, industrial safety issues have not been receiving sufficient attention. Moreover, responsibility/competence for such issues is often split among several authorities within a given country (Emergency Situations, Natural Resources, Water Management, State Inspectorates, Geology and Mining etc.) who often do not coordinate their work with each other and are largely unaware of the challenges faced by their national counterparts.

From the regional point of view, the industrial safety is being addressed in the framework of the Commonwealth of Independent States' Inter-State Council for Industrial Safety and the CESDRR in Almaty. However, only 3 countries from Central Asia region are its members (Kyrgyzstan, Kazakhstan, Tajikistan), while Uzbekistan has participated in the recent meetings in the capacity of an observer⁶ and Turkmenistan is not a Council member. As far the CESDRR is concerned, Kazakhstan and Kyrgyzstan are its participating states from among the Central Asian countries. Thus, the UNECE Project on Strengthening Industrial Safety in Central Asia was a unique sub-regional endeavour to address the country-specific needs in terms of industrial safety while paying special attention to the transboundary cooperation too. UNECE Industrial Accident Convention secretariat collaborates closely with the above regional actors (as well as with other relevant organizations and partners active in the region, such as OSCE, CAREC, SDC etc.) and has kept them informed and involved in the Project activities where relevant and beneficial for the countries.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, H, H	H
National experts from beneficiary countries	H, P, P, P, H	P
UNECE Environmental Division staff	H, H, H	H

⁶ The secretariat of the UNECE Convention on the Transboundary Effects of Industrial Accidents was also granted an observer status at the Council meetings at its XIV meeting, Cholpon-Ata, Kyrgyzstan, 14-15 September 2016

FINDING 1: Project was designed to address highly and, in some cases, partially the needs and priorities of countries Central Asia. These countries are facing many development challenges including those related to industrial safety and protection of the population, assets and environment from the industrial accidents.

2) Question: To what extent was the Project development consistent with the beneficiary countries national and sub-regional priorities?

The Project beneficiary countries are members of the Commonwealth of Independent States (CIS), which includes many of the countries of the former Soviet Union with economies in transition. The period of transition brought in these countries several challenges in protecting lives, economic assets, health and environment from negative consequences of industrial accidents. To address this persisting challenge in a coordinated and adequate way, the CIS created a special entity mandated to improve industrial safety and exchange relevant lessons learned, experience and knowledge among its members, the CIS Interstate Council for Industrial Safety (ICIS). This body leads the efforts of its members in implementing the CIS Agreement on cooperation in the field of industrial safety of hazardous production and transport facilities as one of the CIS regional and CAC sub-regional priority issues.

Another evidence that industrial safety is a priority for the CIS and CAC countries is the fact that the last three years witnessed a significant strengthening of cooperation between the Industrial Accidents Convention secretariat and ICIS. In 2016 ICIS decided to grant an observer status to the UNECE secretariat of the Convention to make this cooperation even more intensive. The Convention's secretariat regularly attends the meetings of the CIS ICIS and its outcome documents in the recent years have been containing reference to the Convention and its Assistance Programme as well as the encouragement to its Member States to benefit fully from the advantages the Convention has to offer by doing self-assessments, creating national action plans, fully implementing the Convention and eventually acceding to it. Representatives of the current Chairmanship of the CIS ICIS attended the latest Conference of the Parties of the Convention (Geneva, 4-6 December 2018) to underline the importance of tighter cooperation and the need to invest joint efforts into sustaining results of the Project in the beneficiary countries.

Face-to-face meetings and semi-structured interviews with the Project national experts held during the evaluation process as well as the statements made during the sub-regional workshop demonstrated that the Project development was highly appreciated by the national authorities of all five beneficiary countries with regard to the enhanced prevention, preparedness and response to industrial accidents and increased transboundary cooperation in this respect. Countries with smaller number of hazardous industrial facilities (Kyrgyzstan and Tajikistan) considered the Project development partially compliant with the national and sub-regional priorities.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, P, H	H
National experts from beneficiary countries	H, H, P, P, H	H
UNECE Environmental Division staff	H, H, H	H

FINDING 2: Project design, objectives and expected outcomes were highly and in case of Tajikistan and Kyrgyzstan partially consistent with the beneficiary countries’ national and sub-regional priorities.

3) Question: How relevant were the activities implemented under the Project to the countries?

All interviewed stakeholders from the beneficiary countries stated that the activities implemented under the project were fully relevant with regard to the status of the industrial safety in their respective countries. The same assessment was made by the international expert from Slovenia along with the Project’s international experts from the Russian Federation and Belarus⁷. The overall feeling was that the Project meetings facilitated open discussions and exchange of the best practices among the competent authorities at national level as well as among competent authorities at the sub-regional level during the Sub-regional Workshop, notably through its bilateral consultation section. These discussions represented another step in ensuring that the project activities address the main gaps and raise awareness about persisting challenges. In accordance with the UNECE’s Strategic Framework, the Project implementation activities were characterized by practical and realistic gender programming and empowerment of women. Involvement of the women in different activities was significant and their voices were heard to. Women acted as the Project national experts representing Kyrgyzstan and Tajikistan. They represented almost 40 % of participation in the sub-regional workshop. The five national meetings were attended by 104 participants of which 30 were women. During the both types of meetings, sub-regional workshops and national meetings, women actively shared their views and recommendations concerning the management of industrial accidents and their transboundary effects. As an example, the photo below shows a sound gender balance among the participants of the national meeting held in Turkmenistan.

⁷ The expert from Slovenia attended the Sub-regional Workshop in the Convention’s Chair position while Russia and Belarus have specifically nominated international experts who have been supporting the Project activities throughout its duration. Additionally, members of the Convention’s Working Group on Implementation (WGI) have supported some of the Project’s activities, e.g. review of self-assessments and action plans (WGI members from Russia, Latvia and Sweden), Implementation Guide (WGI members from Russia and Belarus), contribution to the Sub-regional workshop (WGI members from Russia) etc. An expert from Hungary and several experts from partner and donor organizations also contributed to the Sub-regional workshop.



<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, H, H	H
National experts from beneficiary countries	H, H, H, P, H	H
UNECE Environmental Division staff	H, H, H	H

FINDING 3: Project activities fully corresponded to the needs of the countries in Central Asia. For one recipient country, the extent of relevance was partial since there were not industrial plants with potential industrial accidents transboundary effects (Tajikistan).

- 4) Question: How relevant was the Project to the work plan of the Industrial Accidents Convention, and more broadly to the UNECE strategic framework for the Sub-programme 1 “Environment”?

In line with the work plan of the Convention as well as the UNECE strategic framework for the Sub-programme 1 “Environment”⁸ the national meetings and the sub-regional workshop allowed the national competent authorities to exchange information, experience and good

⁸ A/71/6Rev.1 Programme 17, Sub-programme Environmen.

practices regarding industrial hazard and risk assessment. Activities of the Project were rather instrumental as they:

- Provided a forum for discussion for the representatives of different state authorities dealing with industrial safety, environmental protection and water management and helped establish clear coordination mechanisms between them;
- Allowed for exchange of experience between the international and local experts;
- Improved the understanding of the Industrial Accidents Convention and its Strategic Approach, including the benchmarks with its indicators and criteria to measure progress;
- Supported the national experts in elaboration and finalization of the national self-assessments and national action plans.

They also contributed to enhancement of capacity for preparation of self-assessment reports, the national action plans, awareness raising campaigns and improved the understanding of the Strategic Approach in the Convention Assistance Programme. Last but not least, they helped better understand the requirement to notify hazardous activities and clarified the benefits of appointing Points of contact for the Industrial Accidents Notification System and its usage.

In line with the UNECE strategic framework for the Sub-programme 1 “Environment”, the Project focused on improving response to environmental challenges by UNECE constituencies (five countries of CAC sub-region), strengthening implementation and increasing geographical coverage of UNECE multilateral environmental agreements, enhancing national capacities in five beneficiary countries for environmental monitoring and assessment systems and improving environmental performance in general.

The relevance of the Project to the work plan of the Industrial Accidents Convention was definitely high since existing legislation in force in the beneficiary countries does not fully meet the requirements of the Convention. The countries have voiced a need to receive external support which would help them align their legislation with the Convention as well as create the by-laws needed for the enactment of the national Laws on Industrial Safety in force.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, H, H	H
National experts from beneficiary countries	H, H, H, H, H	H
UNECE Environmental Division staff	H, H, H	H

FINDING 4: Project focus was fully aligned with the work plan of the Convention as well as the UNECE strategic framework for the Sub-programme 1 “Environment”.

5) Question: How relevant was the Project to the Industrial Convention’s Assistance Programme and its Strategic Approach?

For some countries, particularly those with economies in transition, introducing and enforcing national regulations to ensure industrial safety can be difficult. The Industrial Convention’s Assistance Programme has been developed to enhance the capacities of countries of Eastern Europe, the Caucasus and Central Asia and South-Eastern Europe in implementing the Convention. It aims therefore at supporting Parties to the Convention and UNECE countries with economies in transition to improve their industrial safety.

The Programme is based on the principle that assistance can be effective and sustainable if a recipient country is capable of receiving assistance and is willing and committed to take advantage of it. At the core of the Industrial Convention’s Assistance Programme Strategic Approach is a cyclic mechanism that helps countries to identify their challenges in the implementation of the Convention, to design actions to address these challenges and to measure the results achieved.

The principles of the Industrial Convention’s Assistance Programme Strategic Approach were consistently integrated in the Project activities, in particular by development of the self-assessments and the national action plans. These core activities were complemented by the exchange of experience and good practices at the horizontal and vertical levels supported by the implementation of self-assessments in Central Asian countries.

Self-assessments and the national action plans developed in the framework of the Project laid a solid basis for determining the level of progress of each beneficiary country in six working areas of high priority (identification of hazardous activities, notification of hazardous activities, prevention, preparedness, response and mutual assistance, information to and public participation) and two cross-cutting areas (legislation and institutional capacity at the national, regional and local levels) and creating a roadmap for addressing the challenges identified in the above areas. The documents (self-assessments and action plans) elaborated by all participating countries are in line with the Assistance Programme and its Strategic approach, as concluded by the Convention’s Working Group on Implementation.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, H, H	H
National experts from beneficiary countries	P, H, H, H, H	H
UNECE Environmental Division staff	H, H, H	H

FINDING 5: Project was highly compliant with the Industrial Convention’s Assistance Programme and its Strategic Approach.

EFFECTIVENESS

6) Question: To what extent were the expected accomplishments of the Project achieved?

The main objective of the Project was to strengthen the implementation of and accession to the UNECE Industrial Accidents Convention in Central Asia. The Project Document defined two expected accomplishments required for achieving its objective. These accomplishments were:

1. Increased understanding of key requirements of the UNECE Industrial Accidents Convention
2. Enhanced capacities for assessment of industrial safety and development of national action plans for the implementations of and accession to the UNECE Industrial Accidents Convention.

Both expected accomplishments were achieved by implementing the following activities:

- Sub-regional training workshop on the essential requirements of the Convention
- Preparation of a Guide on key requirements of the Convention
- Preparation of self-assessments
- Preparation of action plans

The evaluation sessions held with the Project international experts and UNECE staff members coordinating the implementation of the Project resulted in a unanimous agreement that the expected accomplishments of the Project were fully achieved. The feeling shared by the Project national experts from four countries was that the expected accomplishments were achieved partially. The national experts from these four beneficiary countries felt that a longer time frame was needed to achieve an increased understanding of key requirements of the Convention in a sustainable manner. These four national experts substantiated their overall feeling by the fact that:

- The knowledge about industrial accidents management in their respective countries was rather limited at the beginning of the Project; and
- The Project national experts had during the Project implementation phase many other competing responsibilities

There is an evident discrepancy between the feeling of the four national experts and the results of a quiz⁹, which was organized during the sub-regional workshop held in Almaty on 25-26 September 2018. The quiz clearly shows the workshop's participants understanding of the main requirements of the Convention at 70% rate for those attending an activity under the Convention for the first time and at 77,5% for those attending for the second time and more. At the observations of the UNECE Project manager and the Project's international experts, at the beginning of the Project such understanding was at much lower rates (though they were not

⁹ Detailed results of a quiz are available in the Annex 6 to this report

formally measured). At that time national counterparts were showing low/little understanding of the requirements of the Convention as opposed to 60-80% towards the end of the Project. In conclusion, it would seem that some national experts, who were interviewed during this evaluation exercise, did not fully grasp the meaning of the question no.6.

With regard to the second expected accomplishment, there was a broad consensus among all interviewed stakeholders that this was fully achieved through the development of self-assessments and national action plans in all beneficiary countries. The preparation of a Guide on key requirements of the Convention played also a significant role in reaching both accomplishments.

In addition to expected accomplishments of the Project activities, all Central Asia countries identified one or several competent authority or authorities, nominated the national focal points for the Convention and with exception of Turkmenistan also the Points of Contact for Industrial Accidents Notification System.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, H, H	H
National experts from beneficiary countries	P, P, P, P, H,	P
UNECE Environmental Division staff	H, H, H	H

FINDING 6: The expected accomplishments of the Project were fully achieved.

7) Question: What were the challenges/obstacles to achieving the Project objective and expected accomplishments?

In general there are always several pitfalls that can prevent any cooperation project from achieving its objectives and/or expected accomplishments, such as for example: poor communication, unrealistic deadlines, lack of relevance and accountability, poorly defined objectives, scope changes etc. Thanks to pertinent design of the Project and its effective and efficient management procedures, the Project did not face any serious pitfalls, which could endanger its smooth implementation. All challenging situations have been solved in an appropriate way and thus the Project objectives and expected accomplishments have been fully reached.

FINDING 7:
As a matter of fact all Project’s expected results were achieved. Therefore, the following points should be considered rather challenges than obstacles.
- The absence of a full understanding of the Industrial Accidents Convention’s objectives and its target audience at the beginning of the Project

- Lack of efficient and prompt coordination of the activities and communication among the interested parties at national and sub-regional levels
- Insufficient human resources (no administrative support for the management of the Project) which required spending time on administrative and logistical arrangements by the Project Manager
- Time consuming selection of relevant experts from the beneficiary countries and their sustainable involvement
- Lengthy decision-making process in the beneficiary countries requiring formal high-level communication at every stage of the Project implementation and lengthy periods for receiving replies from the countries
- Initial difficulties in beneficiary countries in understanding the self-assessments content and structure
- Lack of official status of national expert groups in the beneficiary countries

8) Question: Has the Project contributed to strengthening industrial safety in Central Asia?

The Project raised the awareness of the relevance of the Convention for the sub-region, its available tools, mechanisms in enhancing transboundary cooperation and communication among the relevant authorities of the beneficiary countries. As a consequence, by strengthening capacities of these authorities for the assessment of industrial safety and development of national action plans, it played a positive role in strengthening the overall industrial safety in each of the beneficiary countries and the sub-region as a whole.

The Project activities resulted in the identification and assessment of existing gaps in the industrial accidents management and development of action plans for addressing these gaps. Given the duration of the Project and its scope, it was not foreseen to address all aspects of industrial safety.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, P, H	H
National experts from beneficiary countries	H, P, H, H, H	H
UNECE Environmental Division staff	H, H, H	H

FINDING 8: Project was highly instrumental in strengthening of industrial safety in the Central Asia countries participating in its activities

9) Question: To what extent were the Project activities sufficient to achieve the project objective and expected accomplishments?

The Project activities were sufficient to achieve the Project objective and expected accomplishments. All expected accomplishments were achieved and even over-achieved as demonstrated in Question 6 above. The duration of the Project was sufficient to increase understanding of key requirements of the UNECE Industrial Accidents Convention and to elaborate national action plans and self-assessments which did happen in all five beneficiary countries, while naturally additional industrial safety needs (beyond the Project’s scope) remain.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	P, H, H, P	H/P
National experts from beneficiary countries	P, P, H, P, H	P
UNECE Environmental Division staff	H, H, H	H

FINDING 9: Project activities were successful in stimulating the participating countries commitments in the implementation of and accession to the Convention and sufficient in achieving a comprehensive understanding of the main requirements of the Convention by the main target groups

10) Question: To what extent did the implementation of the Project contribute to overall objectives of the Industrial Accidents Convention?

The project contributed in a very meaningful way to the overall objectives of the Industrial Accidents Convention and its Assistance Programme. Its activities and outcomes were very well aligned with the Convention’s core focus on enhancing measures for the prevention, preparedness and response to industrial accidents which may have transboundary effects and strengthening transboundary cooperation.

Nevertheless, for sustaining the successes of the project and further strengthening of industrial safety in its beneficiary countries, a follow-up Project is required, as concluded by the current Project’s national and international experts. The interviews hold with the national experts indicated that the Project was instrumental in awareness raising and building of initial understanding about overall objectives of the Industrial Accidents Convention which resulted in drafting of national action plans. However, the implementation of these plans would require additional support through international cooperation project.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	P, H, H, H	H
National experts from beneficiary countries	H, P, P, P, P	P

UNECE Environmental Division staff	H, H, H	H
------------------------------------	---------	---

FINDING 10: Prevailing feeling of international experts was that Project made a significant contribution to overall objectives of the Industrial Accidents Convention while the national experts believed that this contribution was partial with a need for a follow-up Project.

EFFICIENCY

- 11) Question: Were the available resources appropriate to the scale of the Project and the needs identified by member States in Central Asia?

While the available resources were appropriate to the scale of the Project, they were not sufficient to meet all the needs of the countries in Central Asia in the field of comprehensive industrial risk management. The funding of the Project provided by the Russian Federation was partially complemented with the support provided by OSCE (travel of additional participants to the Sub-regional workshop), CESDRR (provision of premises for the Sub-regional workshop free-of-charge) as well as by countries who provided their in-kind contribution in the form of the expert participation and contribution to the Project activities (Russian Federation, Belarus, Slovenia, Hungary).All activities envisaged by the Project document have been fully implemented with available resources.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	P, H, H, H	H
National experts from beneficiary countries	P, H, P, H, H	H
UNECE Environmental Division staff	P, P, P	P

FINDING 11: The available resources were highly appropriate to scale of the Project, they were partially sufficient to cover the industrial safety needs of the recipient countries.

- 12) Question: Were the human and financial resources allocated to the Project used efficiently and commensurate of the Project results?

The Project was managed very well by the Industrial Accidents Convention secretariat with regards to substantive and operational issues. Human and financial resources allocated to the Project were used efficiently and for each of the Project activities the resources were used in appropriate and well-balanced way.

Project budget was spent as foreseen initially.

The total Project budget received from the Russian Federation was USD 265,550. This amount, at the time of the finalization of this report (mid-March 2019)¹⁰ was spent as follows:

- Personnel costs, including remuneration of authors of the Implementation Guide on the Industrial Accidents Convention in Central Asia, remuneration of independent evaluator and salary costs for the Project Manager, amounted to USD 162,389
- Contract Services as well as Operational and other costs, including expenditures for the engagement of national experts in the beneficiary countries and the organization of National Expert Group Meetings through UNDP offices in respective beneficiary countries, amounted to USD 22,621
- United Nations Support Costs amounted to USD 29,677
- Travel, including travel of the Project's international experts and the Project Manager to beneficiary countries for the 5 National Expert Group Meetings, and the participants of the beneficiary countries' travel as well as the travel of the external evaluator to the final Sub-regional Workshop, amounted to USD 43,275.

Project management was ensured by one UNECE staff member at P-2/P-3 level¹¹ who was responsible for delivery of all substantive activities and dedicated roughly 50% of work time to the management of the Project in 2017 and 2018¹² with guidance and support by UNECE regular budget staff members, Secretary to the Convention, P-4 (roughly 1 month during each of the 3 years), Regional Advisor, P-5 (preparation, attendance and contribution of the Sub-regional Workshop, roughly 2 weeks) and Deputy Director of the Environment Division, P-5 (roughly, 1/3 month during each of the 3 years). Three international experts were nominated (2 by the Russian Federation and 1 by Belarus which was these countries' in-kind contribution to the Project) to provide advisory services to the national experts of the beneficiary countries. These national experts, in their turn, developed the self-assessments and action plans and received remuneration in line with the Project budget provision for this work. For the development of the Guide on the key requirements of the Convention, an institution with the proven expertise in the field of industrial safety and related policies drafting was hired through an institutional contract. Finally, an external evaluator was hired to assess the Project's relevance, efficiency, effectiveness and impact.

The participants of the national meetings held in Kazakhstan, Kyrgyzstan, Uzbekistan, Tajikistan and Turkmenistan were given opportunity to evaluate the quality, usefulness and effectiveness of these meetings organized by the UNECE secretariat of the Convention. The

¹⁰ Additional expenditures, associated with the finalization of the Project, will be incurred by end-March 2019, expected to amount to approx. USD 9,000.

¹¹ An increase in level occurred during the Project implementation

¹² 6 months in 2017, 5.5. months in 2018, in addition to approx. 5-6 weeks of time in January – March 2019 to finalize the Project. While substantive preparatory work was embarked upon in 2016 to allow detailed planning of the Project, liaison with donor and beneficiary countries, notably to encourage nominations of international and national project experts etc., this time was not charged to the Project.

evaluation summaries¹³ produced during the national meetings indicate that the usefulness of the national meeting was evaluated by the participants at average rate of 72,2%, combining “excellent” and “very good” marks. The same approach applied to the level of achievements during the national meetings resulted at average rate of 76,8%. The complete evaluation summaries are attached as annex to this report.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, H, H	H
National experts from beneficiary countries	H, H, H, H, H,	H
UNECE Environmental Division staff	H, H, H	H

FINDING 12: The human and financial resources were very efficiently allocated to the Project and were highly commensurate of the Project results.

13) Question: Were the activities implemented according to the planned timeframe?

There were some external factor linked to openness and political culture in CAC that delayed the early implementation of certain activities. Some beneficiary countries needed a considerable amount of time to organize their own time and personnel responsible for the Project implementation in the respective country. Nevertheless, all Project activities were completed within the overall time-frame planned for the duration of the Project. Basically, all key activities were finished in 2018, while the Project planned cycle ends in March 2019.

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	P, P, H, H	H/P
National experts from beneficiary countries	H, P, P, H, P	P
UNECE Environmental Division staff	H, H, H	H

FINDING 13: Prevailing feeling of the Project stakeholders was that the activities were implemented according to the planned schedule.

IMPACT

¹³ Evaluation summaries produced during the national meetings are available in Annexes 7.1.,7.2, 7.3., 7.4., and 7.5.

14) Question: To what extent has this Project contributed to enhancing capacities for assessment of industrial safety and development of national action plans for the implementation of the Strategic Approach under the Convention’s Assistance Programme?

The impact of the Project in terms of enhancing capacities for assessment of industrial safety and development of national action plans for the implementation of the Strategic Approach under the Convention’s Assistance Programme was very high. Self-assessments and national action plans were developed by all five countries in a reasonably good quality. This assertion is based on the interviews of the Project’s stakeholders and a careful review of all self-assessments and national action plans which are available in the the Industrial Accidents Convention secretariat files. Desk review showed that the national action plans and self-assessments address well all critical areas of the Convention. During interviews the national experts from all five beneficiary countries confirmed that these documents provide a solid basis for the implementation of the Strategic Approach under the Convention’s Assistance Programme. The Project contributed certainly to reducing industrial accidents risks in Central Asia and enhancing the capacities of the beneficiary countries through various channels:

- Better awareness and understanding of the rationale of the Strategic Approach under the Convention’s Assistance Programme
- Increased capacity for the practical application of the methodology for industrial hazard assessment and self-assessments procedures in CAC
- The self-assessments constitute a solid basis for effective decision making of the responsible authorities concerning the focus of their industrial hazards/risks management actions in the future
- Enhanced capacity to prepare action plans for future activities supporting the Strategic Approach under the Convention
- More effective cooperation among the national and regional stakeholders

<u>Interviewed stakeholders</u>	<u>All ratings</u>	<u>Prevailing rating</u>
International experts from Belarus, Russia and Slovenia	H, H, H, H	H
National experts from beneficiary countries	H, H, H, H, H	H
UNECE Environmental Division staff	H, H, H	H

FINDING 14: Project contributed to enhancing capacities for assessment of industrial safety and development of national action plans for the implementation of the Strategic Approach under the Convention’s Assistance Programme to a high extent.

15) Question: What are the major changes resulting from the Project interventions for key affected target groups?

The primary target groups were government officials in Central Asia responsible for various dimensions of industrial safety, namely in charge of environmental protection, emergency situations management, natural resources management, internal affairs, innovation, investments and some others. Moreover, the Project targeted the populations living in areas likely to be affected by industrial accidents. Action plans developed by the beneficiary countries included public information about industrial risks in order to increase the populations' awareness concerning notification, prevention, preparedness, response and mutual assistance procedures. The Project's outputs contributed to implementation of activities related to Sustainable Development Goals 11-Sustainable cities and communities and 13-Climate Action¹⁴ and included Human Rights consideration (right to live in a safe, clean, healthy and sustainable environment).

At last, but not at least, the Project impact on increasing awareness and knowledge about the Convention was demonstrated through press articles.¹⁵ More examples of press articles about the Project are available in the secretariat of the Convention.

In order to define the major changes resulting from the Project interventions for key affected target groups, a theory of change, also known as a core theory of success was applied. Application of the theory of change followed the procedure outlined in the UNDAF Companion Guidance for the theory of change, which is available as Annex 8 to this report. In its essence the evaluation process used the underlying logic, linking together project inputs and activities to a set of accomplishments.

FINDING 15: The major changes resulting from the project were:

- **Higher level of inter-sectorial cooperation among the target group members**
- **Improved understanding of the Convention requirements**
- **Increased awareness of the Convention Assistance Programme and its benefits**
- **Improved knowledge of the mechanisms used in some other countries for the implementation of the Convention**
- **Increased availability of data needed for the transboundary communication among competent authorities and experts**
- **Higher level of understanding of the technical aspects of the Convention, such as location criteria, Annex I application etc. as a side effect of the Project**
- **Increased capacity for the practical application of the methodology for industrial hazard assessment and self-assessments procedures in CAC**
- **Stimulated a new thinking and in some cases also a review of national mechanisms, action plans and normative documents for industrial safety**

¹⁴ <https://sustainabledevelopment.un.org/?menu=1300>

¹⁵ http://www.turkmenistan.gov.tm/_eng/?id=9856

16) Question: What was the effect of the Project interventions in comparison to the situation at the beginning of the Project?

The Project's main objectives were to increase understanding of key requirements of the UNECE Industrial Accidents Convention in the five beneficiary countries of the Central Asian sub-region and, to enhance capacities for assessment of industrial safety and development of national action plans for the implementation of and accession to the UNECE Industrial Accidents Convention in those countries.

Face-to-face meetings and semi-structured interviews with the Project national experts held during the evaluation process as well as results generated through the use of structured questionnaires¹⁶ demonstrated that the Project interventions had a positive effect in comparison to the situation at the beginning of the Project in the field of strengthening of industrial safety and increasing transboundary cooperation in this area. Among other achievements the Project resulted in development of comprehensive national self-assessments of and national action plans for mitigation of industrial hazards, which were not existing before.

The secretariat of the Convention played a positive role in boosting the effects of the Project interventions by active reporting on the Project impact through social media posts and website updates as illustrated by the following internet links:

<http://www.unece.org/index.php?id=43554>

<http://www.unece.org/info/medi/news/environment/2018/strengthening-cooperation-on-industrial-safety-in-central-asia/doc.html>

Two articles published in the Russian Magazine "Occupational Safety in Industry", No.2/2017 and No.4/2018, provided a good coverage of the Project and its activities and thus contributed to improved understanding of the Convention requirements and its Assistance Programme.¹⁷

The major effects are summarised in Finding 16.

FINDING 16: The major effects generated by the project implementation, and in comparison to the situation at the beginning of the Project can be summarised as follows:

¹⁶ Questionnaires are available in Annex 3

¹⁷ Both issues of the Russian Magazine "Occupational Safety in Industry" are available in the secretariat of the Convention

- **Raising the level of awareness about the industrial safety status and its main challenges in Central Asia**
- **Growing level of confidence in non-Party beneficiary countries about their capability to become a Party to the Convention in the future**
- **Improved understanding of the Convention requirements**
- **Increased awareness of the Convention Assistance Programme and its benefits**
- **Improved knowledge about the identification of hazardous activities and their subsequent notification**
- **Strengthened exchange of information and cooperation among the Central Asia authorities responsible for industrial safety management**
- **Discussions about industrial safety aspects among the participants from CAC became more professional and focused**
- **Revision of legislation (primary and secondary) on industrial safety in several CAC**

17) Question: Is there any evidence that industrial safety was improved in the beneficiary countries? How is this measured?

According to broadly accepted theory, the status of industrial safety can be measured by the level of industrial accidents risk. It can be improved by risk reduction activities including reduction of industrial hazards, vulnerability and number of people and assets being exposed to accident harmful effects.

Given the nature of the Project it is not feasible to apply in this situation the traditional indicators of this broadly used risk formula.

In this case, for getting evidence about and measuring the qualitative improvement of industrial safety in the beneficiary countries, the brainstorming approach involving the competent parties was realized throughout the Project implementation on the occasion of the national meetings and sub-regional workshop. These brainstorming exercises and the feedback received from the various stakeholders during the final evaluation process led to the conclusion that the improvement of industrial safety was an intrinsic characteristic of the Project.

In addition to improving industrial safety in the beneficiary countries, the Project also provided a broader insight into the regional picture and presented best practices in industrial safety beyond the region. This is evidenced by a more active dialogue between the countries of Central Asia and the UNECE secretariat of the Industrial Accidents Convention as well as other regional organizations active in the area of industrial safety, environment protection and disaster risk reduction, such as the CIS Interstate Council on Industrial Safety (ICIS),

the Centre for Emergency Situations and Disaster Risk Reduction in Almaty, OSCE, CAREC, UNISDR etc. As examples can be mentioned regular meetings between the UNECE Industrial Accident Convention secretariat and the national focal points for industrial safety during the national meetings and the sub-regional workshop which were organized in the Project's framework during 2017 and 2018 with active participation of regional industrial safety actors mentioned above (as well as with other relevant organizations and partners active in the region, such as CESDRR, SDC etc.). Dialogue was actively pursued with many of these partners also during the annual meetings of the Conference of the Parties to the Convention held in Geneva

FINDING 17: The evidenced improvements of industrial safety in the beneficiary countries were:

- **Better understanding of the topic**
- **Bringing together in a collaborative manner the relevant experts**
- **Recognizing, assessing and documenting the existing national mechanisms and tools to manage industrial safety**
- **Defining and documenting priority actions for the future to continue the process of improvement of industrial safety in Central Asia**
- **Development of procedures and internal instructions at sectorial levels focusing on hazard identification, risk assessment and development of industrial safety action plans**
- **More pro-active and results-oriented approach of the participating countries in the area of bilateral and multilateral cooperation**
- **Establishment of the industrial safety expert groups at national level specialized in the implementation of and accession to the UNECE Convention on Industrial Safety**
- **Review and improvement of normative documents linked to industrial safety**

VI. Conclusions and recommendations

Conclusions

1. Between its inception in spring 2016 until its end in early 2019, the UNECE Project “Strengthening the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents in Central Asia” **provided valuable support for increasing of the understanding of key requirements of the UNECE Industrial Safety Convention**
2. In line with the Article 2 of the UNECE Convention the Project's outcomes **contributed to strengthened prevention of, preparedness for and response to industrial accidents causing trans-boundary effects** including the effects of such accidents

caused by natural disasters and to sub-regional cooperation in this area in Central Asia sub-region

3. Strengthening the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents in Central Asia **was an ambitious Project with limited financial and human resources and implementation period.** The elapsed period between Project inception and the final evaluation was just a bit over two years. In spite of these limitations it made a positive impact in strengthening of industrial safety
4. **Successful achievements of all planned activities** enhanced capacities for assessment of industrial safety and development of national action plans for the implementation of and accession to the Convention
5. While open discussions during the national meetings and the sub-regional workshop indicated that certain needs remained, notably related to the alignment of the national and sub-regional approaches and procedures with all the requirements of the Convention and enhanced coordination among various authorities involved, **the initial framework was put in place**
6. The Project activities resulted in the **strengthening of sub-regional cooperation among beneficiary countries** concerning exchange of information and good practices in the areas of prevention of, preparedness for and response to industrial accidents
7. National self-assessments were completed by all beneficiary countries assessing the quality of the governance and operational mechanisms linked to the industrial accidents prevention, preparedness and response and their potential transboundary effects. These documents represented an important contribution to enhanced capacity of the beneficiary countries for assessment of industrial safety as a precursor for industrial accidents preparedness and prevention planning
8. National action plans towards the implementation of and accession to the Convention based on the priority actions specified in the self-assessment reports were drafted by all beneficiary countries focussing on key priority actions that need to be implemented, responsible parties for their implementation and timeframe while clearly indicating whether external assistance is needed for their implementation.
9. The outcomes of the Project **stimulated initial changes in the institutional arrangements and national policies** dealing with disaster management and the management of industrial accidents in particular. However, this process is still in its initial stages
10. In spite of its limited resources the strong involvement of the UNECE Convention's secretariat and improving partnership with beneficiary countries brought a positive change in building and enhancing resilience against transboundary effects of industrial accidents. **Continuing support is needed to make this change sustainable and effective**
11. The continuous engagement and follow-up by the secretariat of the Convention was crucial in establishing and developing cooperation with and among the national authorities and ensuring the effective planning, execution and follow-up of Project activities

12. Mainstreaming gender was not explicitly mentioned in the Technical Cooperation Form for this Project. Nevertheless, **gender equality and the empowerment of women were considered and integrated** into the Project practical activities (participation in the Project's substantive meetings, discussions, self-assessment exercises, development of national action plans etc.) in line with the UNECE Strategic Frameworks for 2016-2017 and 2018-2019
13. National experts from Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan accomplished all activities envisaged by the Project in each of their respective countries, notably:
- The holding of one **National Expert Group Meeting** in each of the five beneficiary countries, leading to enhanced clarity of national government institutions in charge of industrial safety, and enabling to initiate the process of inter-institutional coordination with respect to policies and practices related to industrial safety and its transboundary aspects
 - The preparation and finalization of **self-assessments** in each of the five countries, agreed among the relevant authorities, containing of analysis of the level of implementation of the Convention under the six working areas and identification of challenges faced
 - The preparation and finalization of **national action plans**, setting out actions for those working areas in which countries face challenges with clear identification of authorities responsible and timing foreseen for their implementation
 - The participation in and contribution to the **sub-regional workshop** allowing for exchange of knowledge, experience and best practices in the area of industrial accidents prevention, preparedness and response, the conduct of initial consultations about and enhancing transboundary cooperation in Central Asia
 - The review of contribution to and/or endorsement of the **Implementation Guide on the Industrial Accidents Convention for Central Asia** developed by the Project's international experts with contribution by the Convention's secretariat and the Working Group on Implementation of the Convention
14. On the top of the planned expected accomplishments, as a result of the Project implementation, all Central Asia countries designated:
- One or several **competent authority or authorities** for the implementation of the Convention in compliance with the Convention's article 17
 - A **national focal point** under the Industrial Accidents Convention
 - Four out of the five countries, notably Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan appointed a **Point of Contact for the Industrial Accidents Notification System** in compliance with the Convention's article 17

Recommendations

7. **The UNECE needs to support the CAC in addressing the challenges linked to the implementation of and accession to the Convention with a long-term support** which extend over a considerable number of years with each phase building on the results and lessons learned of the previous ones since the nature of the industrial safety related issues in Central Asia is complex and requires long-term efforts.
8. **The UNECE Convention's secretariat needs to continue communications with the national authorities responsible for industrial safety and transboundary cooperation and has to involve all industrial safety actors in the future similar projects design and implementation to maintain the momentum** for enhancing the commitment of the Central Asian countries in the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents
9. **The UNECE needs to promote the message that effective industrial accidents hazard and risk management is linked to development planning** per se and requires the streamlining of industrial safety risk and prevention throughout development and environment programming. The way forward would be by enhanced mainstreaming of the objectives of the UNECE Convention, Sendai Framework for Disaster Risk Reduction, Sustainable Development Goals and Paris Climate Agreement
10. **The UNECE Convention's secretariat should maintain a continued dialogue with the sub-regional Centre for Emergency Situation and Disaster Risk Reduction (CESDRR), CIS ICIS and other relevant regional and sub-regional partners** and donor organizations for the joint effort aimed at sustaining the results achieved and coordinate further support to the countries concerned. In the longer term the feasibility of a suitable sub-regional organization acting as a sub-regional hub or platform for the exchange of lessons learned, best practices and advanced knowledge in industrial safety could be explored.
11. **For the future similar projects UNECE should encourage and promote the development and/or improvement of existing industrial safety governance arrangements in the way which could facilitate the implementation of and accession to the UNECE Convention.** Industrial safety, including its transboundary dimension, has to be clearly conceptualized by appropriate governance (legislation, policy, strategy, standards etc.) in the countries of Central Asia.
12. **The establishment and continuous holding of National and Sub-regional Policy Dialogues for industrial safety could be an effective way to provide support to countries** in coherent and risk-informed policy-making for industrial safety across different sectors in direct follow-up to the completion of the Project and to support the implementation of activities set out in the national action plans developed during the Project

VII. Annexes

1. Terms of Reference
2. List of reviewed documents
3. Questionnaire for surveys

- 3.1. In English
 - 3.2. In Russian
 4. List of interviewees
 5. Executive summary
 6. Results of the quiz on the understanding of the key requirements of the UNECE Industrial Accidents Convention organized in Almaty, on 25-26 September 2018
 7. Evaluation summaries from the Project's national meetings held in:
 - 7.1. Kazakhstan
 - 7.2. Kyrgyzstan
 - 7.3. Tajikistan
 - 7.4. Turkmenistan
 - 7.5. Uzbekistan
 8. Theory of change -UNDAF Companion Guidance
-

ACKNOWLEDGEMENT

The author would like to thank to the UNECE Secretariat for the Convention team for their invaluable support and engagement during the evaluation process. I would also like to thank the international experts from Belarus, the Russian Federation and Slovenia as well as the national experts of all five beneficiary countries from the Central Asian sub-region for their contributions.

Dusan ZUPKA

March 2019

TO BE GIVEN TO CONSULTANT/INDIVIDUAL CONTRACTORTERMS OF REFERENCE

Name of Contractee: Mr. Dusan Zupka

Requesting Office: UNECE EHLM

1. Objectives and Targets (Specific Functions of Consultant/Individual Contractor)

The purpose of this consultancy is to conduct an external evaluation of the project “strengthening industrial safety in Central Asia through the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents” (hereinafter “Project”) in order to assess the extent to which it achieved its intended objective. The evaluation will assess the relevance, effectiveness, efficiency and impact of the UNECE activities under the Project. The results of the evaluation will be used to improve design and implementation of future projects and strengthen demand-driven and result-oriented approach for the delivery of future technical cooperation efforts.

In conducting the evaluation, the consultant is expected to be guided by the objective, expected accomplishment, activities and indicators of achievements established in the project logical framework of the project document. The evaluation will assess the extent to which the project succeeded in strengthening the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents in all beneficiary countries, namely Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan.

The evaluation will cover the full period of project implementation from March 2016 to March 2019.

The consultant should use the following issues/questions as a basis for the evaluation:

Relevance

1. How relevant was the project for the needs and priorities of countries in Central Asia?
2. To what extent was the project development consistent with the beneficiary countries’ national and sub-regional priorities?
3. How relevant were the activities implemented under the project to the countries?
4. How relevant was the project to the workplan of the Industrial Accidents Convention, and more broadly to the UNECE strategic framework for the Subprogramme 1 “Environment”?
5. How relevant was the project to the Industrial Accident Convention’s Assistance Programme and its Strategic Approach?

Effectiveness

1. To what extent were the expected accomplishments of the project achieved?
2. What were the challenges/obstacles to achieving the project objective and expected accomplishments?
3. Has the project contributed to strengthening industrial safety in Central Asia?
4. To what extent were project activities sufficient to achieve the project objective and expected accomplishments?
5. To what extent did the implementation of the project contribute to the overall objectives of the Industrial Accidents Convention?

Efficiency

1. Were the available resources appropriate to the scale of the project and the needs identified by member States in Central Asia?
2. Were the human and financial resources allocated to the project used efficiently and commensurate to the project results?
3. Were the activities implemented according to the planned timeframe?

Impact

1. To what extent has this project contributed to enhancing capacities for assessment of industrial safety and development of national action plans for the implementation of the Strategic Approach under the Convention's Assistance Programme in the beneficiary countries?
2. What are the major changes resulting from the project interventions for key affected target groups?
3. What was the effect of the project interventions in comparison to the situation at the beginning of the project?
4. Is there any evidence that industrial safety was improved in the beneficiary countries? How is this measured?

The methodology for the evaluation may include the following:

1. Desk study of material available at the UNECE project website (<http://www.unece.org/index.php?id=43554>): project description, meeting details, and other information provided by the project officer, including the technical cooperation project form, project flyer, agendas for national expert group meetings held and the sub-regional workshop envisaged, overview of meeting outcomes, the questionnaires completed by participants evaluating the meetings held.
2. Interviews with key stakeholders: Project's national and international experts, project manager, participants of the subregional workshop, UNECE staff and partner organizations.
3. An electronic survey of the participants of project activities in Russian (optionally also in English).

2. Tangible and measurable outputs of the work assignment

- Inception report that will provide the detailed outline of the final report with some initial findings.
- Final report (max. 20 pages) that will summarize the findings, conclusions and recommendations of the evaluation.
- Executive summary (max. 2 pages) that will summarize the methodology of the evaluation, key findings, conclusions and recommendations.

• Report required:

YES No. of pages: 20 max.
Language: English Format: Word

NO

3. Schedule of the work delivery and payments

(please specify dates, expected outputs and related payments, where applicable)

The overall payment is US\$ \$6,000 USD.

The period of work is from 1/10/2018 to 15/12/2018 (inclusive).

Details:

The evaluation schedule will be as follows:

- Desk review of all documents provided by UNECE to the consultant: 1 October 2018
- Design of survey to participants and interview questions, attendance of the project final workshop, conducting interviews in person and over Skype/phone: 1 – 20 October
- Delivery of inception report: 10 November 2018
- Feedback on inception report by project manager: 30 November 2018
- Delivery of Final Report: 15 December 2018

Total amount: US\$ 6,000 upon satisfactory completion, as assessed by UNECE, of the work.

4. Performance Indicators

Draft and final products submitted in a timely manner and of high quality as assessed by the secretariat.

Head of Substantive Office:

Marco Keiner, Director, Environment Division

Signature: _____

Date _____

Officer in charge of the project:

Franziska Hirsch, secretary, Industrial Accidents

Convention

Date

Signature: _____

Executive Office:

Fernando Krichilski, Senior Administrative Assistant

Signature: _____

Date

ANNEX 2: List of reviewed documents

1. Convention on the Transboundary Effects of Industrial Accidents, 2017, UNECE
2. Technical Cooperation Project Form: “Strengthening the Implementation of and Accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents in Central Asia”, 2016, UNECE
3. Annual Implementation report covering the Project on “Strengthening the Implementation of and Accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents in Central Asia” , 2016, UNECE
4. Annual Implementation report covering the Project on “Strengthening the Implementation of and Accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents in Central Asia” , 2017, UNECE
5. Booklet “Project on Strengthening Industrial Safety in Central Asia”, UNECE
6. The Assistance Program of the Convention on the Transboundary Effects of Industrial Accidents, 2010, UNECE
7. Strategic Approach for the Assistance Program, 2008, UNECE
8. International Efforts for Industrial and Chemical Accidents Prevention, Preparedness and Response, UNECE
9. Cross-Border Concerns, Shared Strategies – Why transboundary Cooperation Matters in Preventing Industrial Accidents, 2017, UNECE
10. Environment @ UNECE – Safeguarding the Environment for Future Generations, UNECE
11. Booklet “Convention on the Transboundary Effects of Industrial Accidents and Sustainable Development Goals, 2016, UNECE
12. Booklet “Convention on the Transboundary Effects of Industrial Accidents and Sendai Framework for Disaster Risk Reduction, 2016, UNECE
13. Booklet UNECE and the 2030 Agenda, 2017, UNECE
14. Safety Guidelines and Good Industry Practices for Oil Terminals, 2015, UNECE
15. Safety Guidelines and Good Practices for Pipelines, 2015, UNECE
16. Results-based budget for the extrabudgetary project “Strengthening the Implementation of and Accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents in Central Asia”, 2016, UNECE
17. Internationally Supported Assistance Program for the East European, Caucasian and Central Asian and the South-East European Countries to Enhance their Efforts in Implementing the Convention, 2004, UNECE
18. Benchmarks for the Implementation of the Convention on the Transboundary Effects of Industrial Accidents, 2010, UNECE
19. A Decade of Assistance to Countries in Eastern and South-Eastern Europe, the Caucasus and Central Asia: lessons learned and future prospects, 2014, UNECE
20. Priorities, workplan and resources for the Convention for 2019-2020, 2018, UNECE
21. Report of the Conference of the Parties to the Convention on its Ninth meeting, 2017, UNECE
22. Draft Long-Term Strategy for the Convention until 2030, 2018, UNECE
23. Mission report by Ms. Yelyzaveta Rubach concerning the national expert group meeting in Kazakhstan, 18-24 June 2017, UNECE
24. Mission report by Ms. Yelyzaveta Rubach concerning the national expert group meeting in Turkmenistan, 22-27 January 2018, UNECE

25. Mission report by Ms. Yelyzaveta Rubach concerning the national expert group meeting in Uzbekistan, 5-10 February 2018, UNECE
26. Mission report by Ms. Yelyzaveta Rubach concerning the national expert group meeting in Tajikistan, 11-16 March 2018, UNECE
27. Action Plan for Implementation of the UNECE Convention on Transboundary Effects of Industrial Accidents. 2018, Project National Expert Group in Kazakhstan
28. Action Plan for Implementation of the UNECE Convention on Transboundary Effects of Industrial Accidents. 2018, Project National Expert Group in Kyrgyzstan
29. Action Plan for Implementation of the UNECE Convention on Transboundary Effects of Industrial Accidents. 2018, Project National Expert Group in Tajikistan
30. Action Plan for Implementation of the UNECE Convention on Transboundary Effects of Industrial Accidents. 2018, Project National Expert Group in Turkmenistan
31. Action Plan for Implementation of the UNECE Convention on Transboundary Effects of Industrial Accidents. 2018, Project National Expert Group in Uzbekistan
32. Findings on the Self-assessment in the Sphere of Industrial Safety, 2018, Project National Expert Group in Kazakhstan
33. Findings on the Self-assessment in the Sphere of Industrial Safety, 2017, Project National Expert Group in Kyrgyzstan
34. Findings on the Self-assessment in the Sphere of Industrial Safety, 2018, Project National Expert Group in Tajikistan
35. Findings on the Self-assessment in the Sphere of Industrial Safety, 2018, Project National Expert Group in Turkmenistan
36. Findings on the Self-assessment in the Sphere of Industrial Safety, 2018, Project National Expert Group in Uzbekistan
37. Evaluation Summary concerning the national expert group meeting in Turkmenistan, 24-25 January 2018, UNECE
38. Evaluation Summary concerning the national expert group meeting in Tajikistan, 13-14 March 2018, UNECE
39. Evaluation Summary concerning the national expert group meeting in Uzbekistan, 7 February 2018, UNECE
40. Support Guide for Conducting Evaluation, May 2014, UNECE
41. Evaluation Policy, October 2014, UNECE
42. Proposed Strategic Framework for the Period 2016-2017, Program 17: Economic Development in Europe, 14 February 2014, UN General Assembly
43. Proposed Strategic Framework for the Period 2018-2019, Program 17: Economic Development in Europe, 23 February 2016, UN General Assembly

External evaluation of the project “strengthening industrial safety in Central Asia through the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents” (hereinafter “Project”)

Prepared by Dusan ZUPKA, UNECE independent consultant and evaluator

Responses by: Name: Contact coordinates:

Relevance

- 1. How relevant was the project for the needs and priorities of countries in Central Asia? Highly... Partially... Little... Not relevant at all... EXPLAIN YOUR CHOISE INWRITING...
2. To what extent was the project development consistent with the beneficiary countries' national and sub-regional priorities? Highly... Partially... Little... Not consistent at all... EXPLAIN YOUR CHOISE INWRITING...
3. How relevant were the activities implemented under the project to the participating countries? Highly... Partially... Little... Not relevant at all... EXPLAIN YOUR CHOISE INWRITING...
4. How relevant was the project to the work plan of the Industrial Accidents Convention, and more broadly to the UNECE strategic framework for the Sub-program 1 "Environment"? Highly... Partially... Little... Not relevant at all... EXPLAIN YOUR CHOISE INWRITING...
5. How relevant was the project to the Industrial Accident Convention's Assistance Program and its Strategic Approach? Highly... Partially... Little...

Not relevant at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

Efficiency

1. Were the available resources appropriate to the scale of the project and the needs identified by member States in Central Asia?
Highly.....
Partially.....
Little.....
Not appropriate at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

2. Were the human and financial resources allocated to the project used efficiently and commensurate to the project results?
Highly.....
Partially.....
Little.....
Not at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

3. Were the activities implemented according to the planned timeframe?
Fully.....
Partially.....
Little.....
Not at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

Effectiveness

1. To what extent were the expected accomplishments of the project achieved?
Fully.....
Partially.....
Little.....
Not at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

2. What were the challenges/obstacles to achieving the project objective and expected accomplishments?
EXPLAIN IN WRITING.....
.....
.....

3. Has the project contributed to strengthening industrial safety in Central Asia?
Highly.....
Partially.....

Little.....
Not at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

4. To what extent were project activities sufficient to achieve the project objective and expected accomplishments?
Highly.....
Partially.....
Little.....
Not at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

5. To what extent did the implementation of the project contribute to the overall objectives of the Industrial Accidents Convention?
Highly.....
Partially.....
Little.....
Not at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....

Impact

1. To what extent has this project contributed to enhancing capacities for assessment of industrial safety and development of national action plans for the implementation of the Strategic Approach under the Convention’s Assistance Program in the beneficiary countries?
Highly.....
Partially.....
Little.....
Not at all.....
EXPLAIN YOUR CHOISE INWRITING.....
.....
.....
.....

2. What are the major changes resulting from the project interventions for key affected target groups?
EXPLAIN IN WRITING.....
.....
.....

3. What was the effect of the project interventions in comparison to the situation at the beginning of the project?
EXPLAIN IN WRITING.....
.....
.....
.....

4. Is there any evidence that industrial safety was improved in the beneficiary countries?
How is this measured?
EXPLAIN IN WRITING.....

Внешняя оценка проекта " укрепление промышленной безопасности в Центральной Азии путем осуществления Конвенции ЕЭК ООН о трансграничном воздействии промышленных аварий и присоединения к ней"

Душан Zurka, независимый консультант и оценщик

Имя:

Организация:

Название / функция:

I/ Уместность/ релевантность

1. Насколько актуальным был проект (его цели) для нужд и приоритетов стран Центральной Азии?
Пожалуйста, выберите один из ответов и отметьте:
Весьма актуально для нынешней ситуации-----
Актуально по некоторым вопросам-----
Слабая релевантность-----
Не актуально вообще-----
Обоснуйте свой выбор комментариями
2. В какой степени разработка проекта соответствует национальным и субрегиональным приоритетам стран/стран-бенефициаров?
Пожалуйста, выберите один из ответов и отметьте:
Разработка проекта решительно соответствует приоритетам моей стране/регионе-----
Соответствует по некоторым вопросам, не всем-----
Плохо соответствует-----
Не соответствуют вообще-----
Обоснуйте свой выбор комментариями:
3. Насколько актуальны для вашей страны мероприятия, осуществляемые в рамках проекта?
Пожалуйста, выберите один из ответов и отметьте:
Весьма актуально для нынешней ситуации-----
Актуально по некоторым вопросам-----
Слабая релевантность-----

Не актуально вообще-----

Обоснуйте свой выбор комментариями:

4.Насколько проект актуален для плана работы Конвенции о промышленных авариях и в более широком плане для стратегических рамок ЕЭК ООН для подпрограммы I "окружающая среда"?

Пожалуйста, выберите один из ответов и отметьте:

Весьма актуальна для конвенции и подпрограммы-----

Отношение к некоторым вопросам, не все-----

Плохо актуально-----

Не актуально вообще-----

Обоснуйте свой выбор комментариями:

5.Насколько проект актуален для программы содействия Конвенции о промышленных авариях и ее стратегического подхода?

Пожалуйста, выберите один из ответов и отметьте:

Весьма актуально -----

Актуально по некоторым вопросам-----

Слабая релевантность-----

Не актуально вообще-----

Обоснуйте свой выбор комментариями:

II/Эффективность

6.Соответствуют ли имеющиеся ресурсы масштабам проекта и потребностям, определенным государствами-членами в Центральной Азии?

Пожалуйста, выберите один из ответов и отметьте:

Весьма уместно-----

Частично уместно-----

Плохо подходит-----

Не подходит-----

Обоснуйте свой выбор комментариями:

7.Эффективно ли используются людские и финансовые ресурсы, выделяемые на осуществление проекта, и соразмерны ли они результатам проекта?

Пожалуйста, выберите один из ответов и отметьте:

Очень эффективно и соразмерно-----

Частично эффективно и соразмерно-----

Плохо эффективно и соразмерно-----

Не эффективно и соразмерно на всех-----

Обоснуйте свой выбор комментариями:

8. Осуществлялись ли мероприятия в запланированные сроки?

Пожалуйста, выберите один из ответов и отметьте:

Полностью в соответствии с запланированными сроками-----

Частично в соответствии с запланированными сроками-----

Очень мало по сроки-----

Совсем не в запланированные сроки-----

Обоснуйте свой выбор комментариями:

III/Результативность

9. В какой степени были достигнуты ожидаемые результаты проекта?

Пожалуйста, выберите один из ответов и отметьте:

Достижения были полностью достигнуты.....

Достижения были достигнуты частично.....

Достижения были достигнуты плохо.....

Не достигнуто вообще.....

Обоснуйте свой выбор комментариями:

10. Какие проблемы/препятствия на пути достижения цели проекта и ожидаемые результаты?

Подробно объяснять:

11. Данный проект способствовал укреплению промышленной безопасности в Центральной Азии?

Пожалуйста, выберите один из ответов и отметьте:

Значительно.....

В ограниченном виде.....

Плохо.....

Нисколько.....

Обоснуйте свой выбор комментариями:

12. В какой степени проектная деятельность достаточна для достижения цели проекта и ожидаемых достижений?

Пожалуйста, выберите один из ответов и отметьте:

Полностью достаточный.....

Частично достаточный.....

Плохо достаточно.....

Не достаточно.....

Обоснуйте свой выбор комментариями:

13. В какой степени осуществление проекта способствовало достижению общих целей Конвенции о промышленных авариях?

Пожалуйста, выберите один из ответов и отметьте:

В полном объеме.....

Т ограниченно.....

В плохой степени.....

Нисколько.....

Обоснуйте свой выбор комментариями:

IV/Воздействие

14. В какой степени этот проект способствовал повышению потенциала в области оценки промышленной безопасности и разработке национальных планов действий по осуществлению стратегического подхода, в рамках Стратегической программы Конвенции в странах-бенефициарах?

Пожалуйста, выберите один из ответов и отметьте:

Проект внес значительный вклад.....

Несколько способствовал.....

Плохой вклад.....

Совсем не участвовал.....

Обоснуйте свой выбор комментариями:

15. Каковы основные изменения в результате проектных мероприятий для ключевых затронутых целевых групп?

Подробно объяснять

16. Каков был эффект проекта по сравнению с ситуацией в начале проекта?

Подробно объяснять:

17. Имеются ли какие-либо свидетельства повышения уровня промышленной безопасности в странах-бенефициарах? Как это можно измерить?

Подробно объяснять:

ANNEX 4: List of interviewees

Mr. SERIK AKHMETOV – Project National Expert, Almaty, Kazakhstan
+77055171634, serik.akhmetov@mail.ru

Ms. GULFIYA SHABAYEVA – Project National Expert, Bishkek, Kyrgyzstan
+996772376129, 17sept@mail.ru

Ms. SHARIFA KHUODOBAKSHH – Project National Expert, Dushanbe,
Tajikistan
+992935018822, khsharifa@gmail.com

Mr. MERGEN KERBANOV – Project National Expert, Ashgabad,
Turkmenistan
+99365034708, mergenk@mail.ru

Mr. ABDULLO NURMATOV - Project National Expert, Tashkent, Uzbekistan
+998933882210, urhbz@fvv.uz

Ms. Elena Klovach – Project International Expert, Russian Federation

Ms. Anna Tsarina – Project International Expert, Russian Federation
+79107086202, tsarinaag@gmail.com

Mr. Evgeny Baranovsky – Project International Expert, Belarus
+375291194541, e.v.baranovsky@gmail.com

Ms. Jasmina Karba – Chair of the Conference of Parties to the UNECE
Convention on the Transboundary Effects of Industrial Accidents, Slovenia
+38614787248, jasmina.karba@gov.si

Mr. Sergiusz Ludwiczak – Deputy Director, Environment Division, UNECE
Geneva
+41229173174, sergiuzs.ludwiczak@unece.org

Ms. Franziska Hirsch – Secretary of the Convention on the Transboundary
Effects of Industrial Accidents, UNECE Geneva
+41229172480, Franziska.hirsch@unece.org

Ms. Yelyzaveta Rubach, Environmental Affairs Officer, UNECE Geneva
+41229172450, yelyzaveta.rubach@un.org

ANNEX 5: Executive summary

This executive summary presents key findings, conclusions and recommendations of the final evaluation report of the project “Strengthening industrial safety in Central Asia through the implementation of and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents” (hereinafter “Project”). It represents the last of the three tangible and measurable outputs of the evaluation stipulated in the consultant’s TOR.¹ The overall objective of this evaluation is to conduct an external assessment of the Project in order to assess the extent to which the project achieved its intended objectives. The Project was designed to support the Governments of the Central Asia countries in order to achieve:

1. Increased understanding of key requirements of the UNECE Industrial Accidents Convention;
2. Enhanced capacities for assessment of industrial safety and development of national action plans for the implementations of and accession to the UNECE Industrial Accidents Convention.

The exercise was undertaken by an external evaluator in October-December 2018. In addition, evaluator attended the Sub-regional Workshop – the last substantive activity organized in the Project framework, held in Almaty on 25-26 September 2018.

The evaluation was intended to contribute to:

- providing independent evidence of the Project results to meet results-based planning and evaluation requirements,
- promoting implementation improvement, learning and knowledge development through identification of main findings, conclusions and recommendations, and
- strengthening demand-driven and result-oriented approach for the delivery of future technical cooperation efforts focusing on strengthening of industrial safety.

The evaluation was undertaken at the completion of the key deliverables of the Project and focused on the key DAC evaluation criteria, namely: relevance, efficiency, effectiveness and impact.

For each of the evaluation criteria a cluster of questions was established, including scores in order to assess the levels of success: high, partial, little and not at all. The evaluation process included application of both quantitative and qualitative methods and a variety of evaluation tools including desk review, analysis of the pertinent document, the collected survey information as well as interviews and focus groups sessions.

¹ The other two being the inception report submitted by the evaluator on 16 November 2018 and the final evaluation report of the Project.

The evaluation generated a number of findings, conclusions and recommendations, the most important of which are summarized below:

KEY FINDINGS:

1. Project results were highly and in some cases partially consistent with the sub-regional and national priorities and the needs of target groups in Central Asia. There was a high degree of congruence between the perception of what was needed by the Project planners and the perception of what was needed by as seen by project beneficiaries in the recipient sub-region and its countries.
2. Project activities have highly and in a very few cases partially contributed to expected results, to the main objective of the Project and to the overall objective of the Industrial Accidents Convention. Project activities have been fully implemented.
3. Human and financial resources allocated to the Project were used efficiently and wisely to achieve expected results. Planned activities were with a very few exceptions implemented according to original schedule.
4. The Project highly contributed to enhancing capacities for assessment of industrial safety and the development of national action plans for the implementation of the Strategic Approach under the Convention's Assistance Programme.
5. While consideration of gender equality and the empowerment of women is not explicitly addressed in the text of the UNECE Industrial Accidents Convention, the Project paid attention to this subject through women's participation in national meetings, sub-regional workshop and significant involvement in the development of main Project's outputs (implementation guide, national action plans and self-assessments).

KEY CONCLUSIONS:

1. The Project made a significant contribution to increased understanding of key requirements of the UNECE Industrial Accidents Convention in Central Asia
2. Consideration of gender equality and the empowerment of women was reflected in active participation of women in the national seminars and sub-regional workshop, as well as in their significant involvement in the development of the national self-assessments, action plans and implementation guide.
3. Project activities enhanced capacities for assessment of industrial safety and development of national action plans for the implementation of and accession to the UNECE Industrial Accidents Convention in all five countries of the Central Asia sub-region.

KEY RECOMMENDATIONS:

Project stakeholders from recipient countries all expressed the need and their enthusiasm for continued UNECE support in strengthening the implementation of and accession to the UNECE Industrial Accidents Convention. Key recommendations of a strategic nature for the design of a second phase of the Project are:

1. **The UNECE needs to support the CAC in addressing the challenges linked to the implementation of and accession to the Convention with a long-term support**
2. **The UNECE Convention's secretariat needs to continue communications with the national authorities responsible for industrial safety and transboundary cooperation and has to involve all industrial safety actors in the future similar projects design and implementation to maintain the momentum**
3. **The UNECE needs to promote the message that effective industrial accidents hazard and risk management is linked to development planning**
4. **The UNECE Convention's secretariat should maintain a continued dialogue with the sub-regional Centre for Emergency Situation and Disaster Risk Reduction (CESDRR), CIS ICIS and other relevant regional and sub-regional partners**
5. **For the future similar projects UNECE should encourage and promote the development and/or improvement of existing industrial safety governance arrangements in the way which could facilitate the implementation of and accession to the UNECE Convention**
6. **The establishment and continuous holding of National and Sub-regional Policy Dialogues for industrial safety could be an effective way to provide support to beneficiary countries**

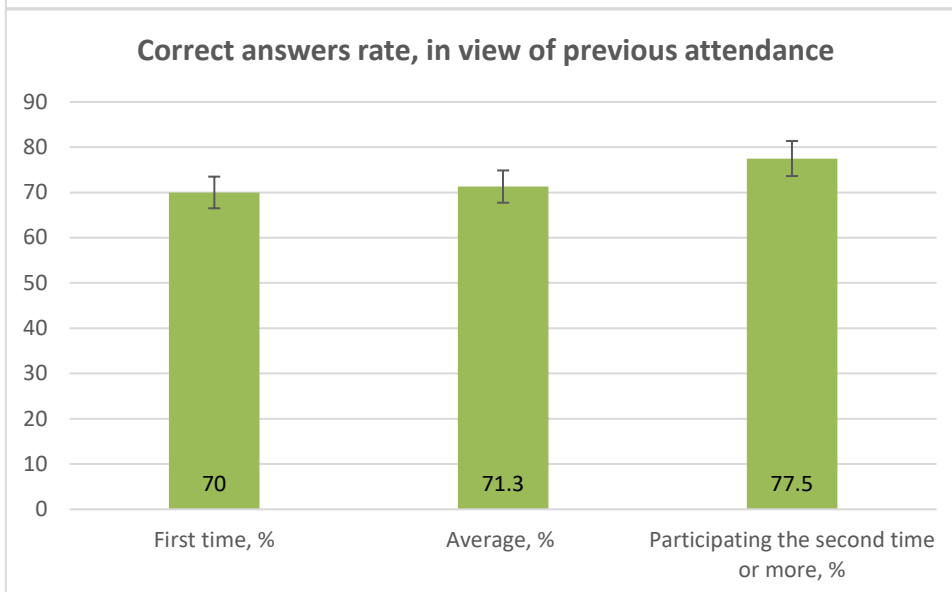
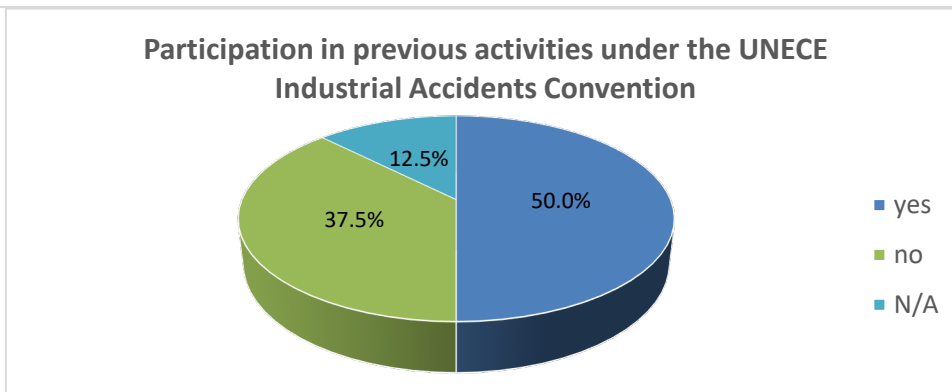
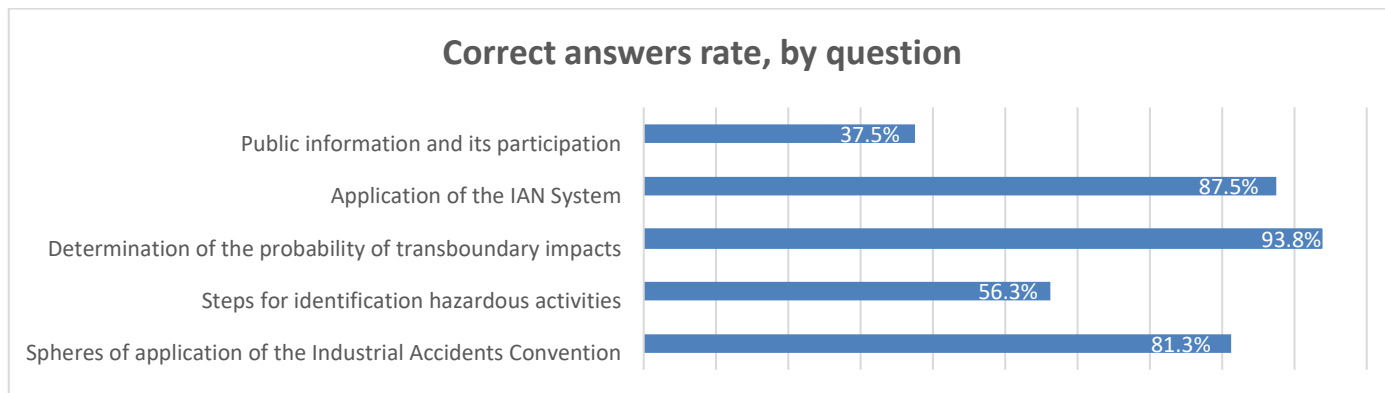
Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

Quiz on the Convention - results

Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

Almaty, 25-26 September 2018

The participants were requested to answer 5 questions for evaluation of their understanding of the key requirements of the UNECE Industrial Accidents Convention. A total of 16 evaluation forms were submitted.



Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

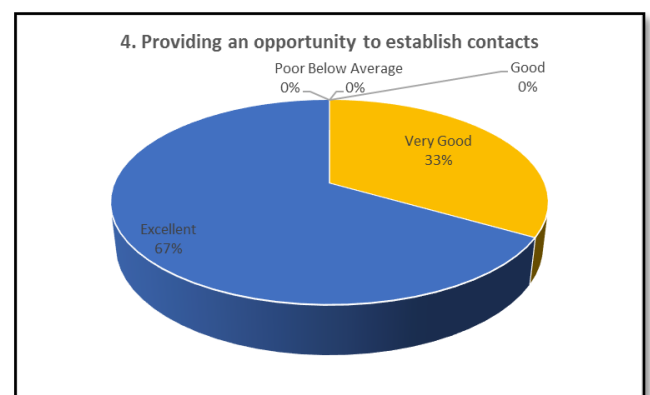
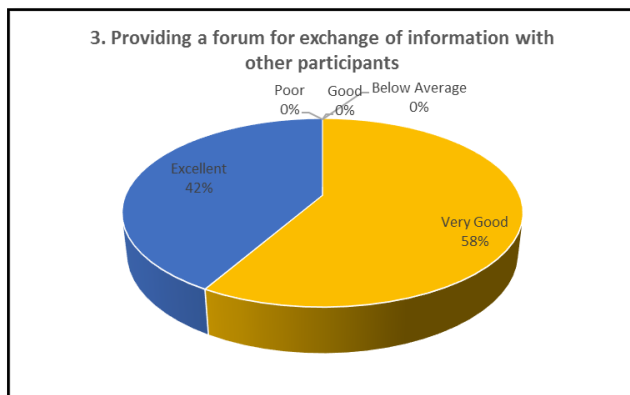
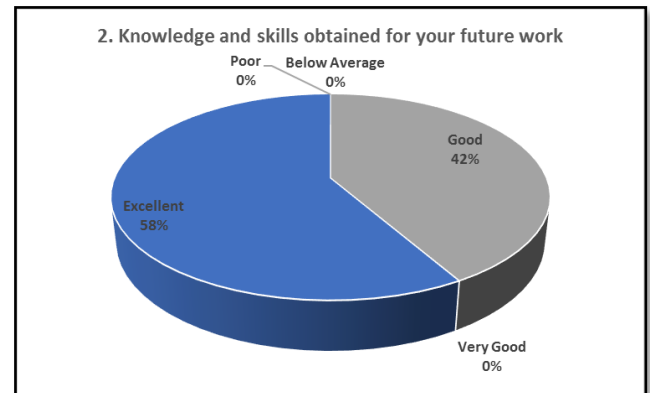
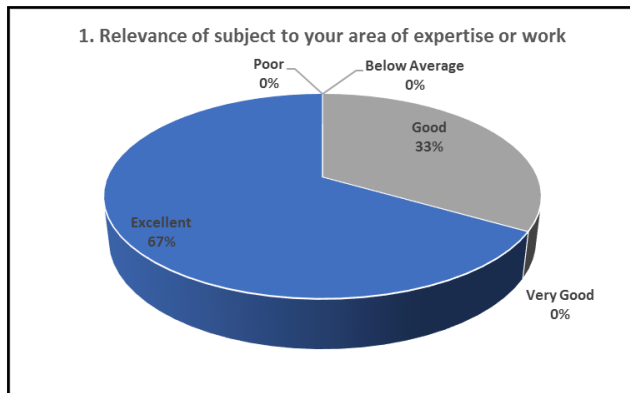
Evaluation Summary

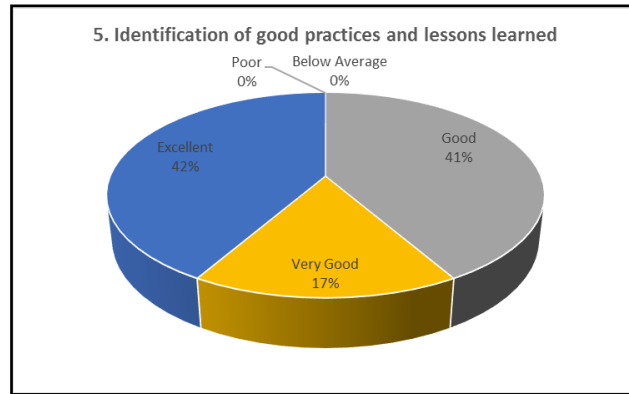
Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”

Borovoe, Kazakhstan, 20 – 22 June 2017

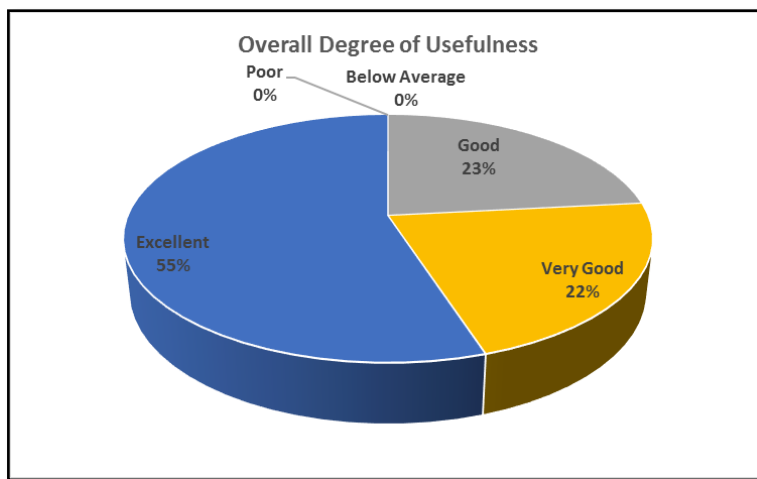
The participants were requested to indicate their opinion of various aspects of the workshop in terms of usefulness and organization. A total of 12 evaluation forms were submitted. A summary of feedback received is presented below.

I. Degree of usefulness of the event in terms of:

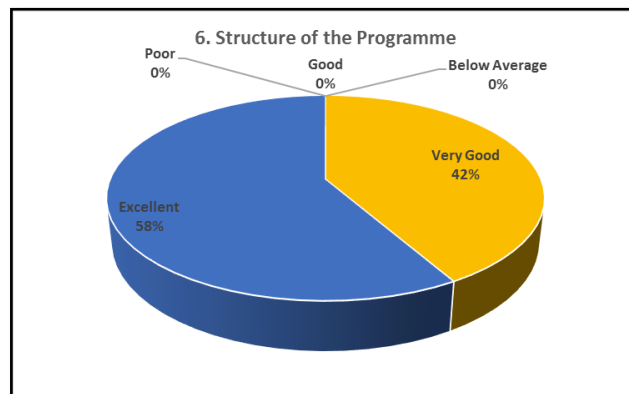




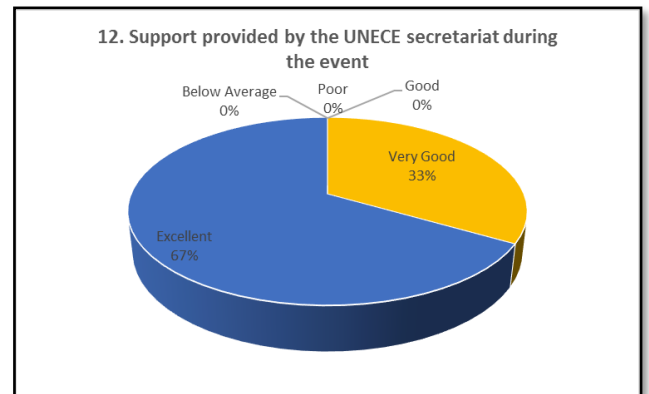
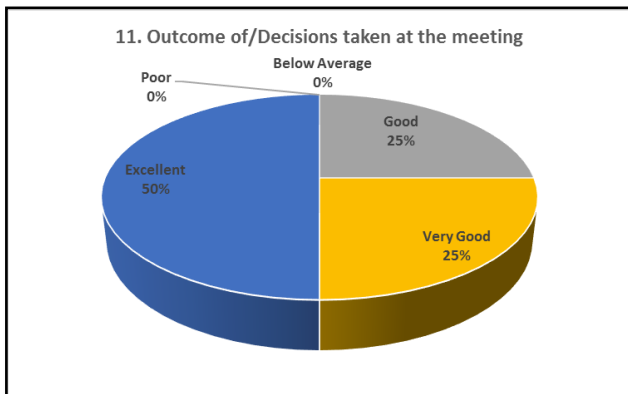
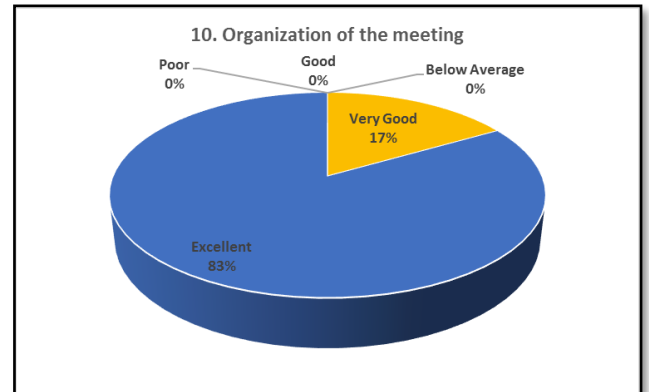
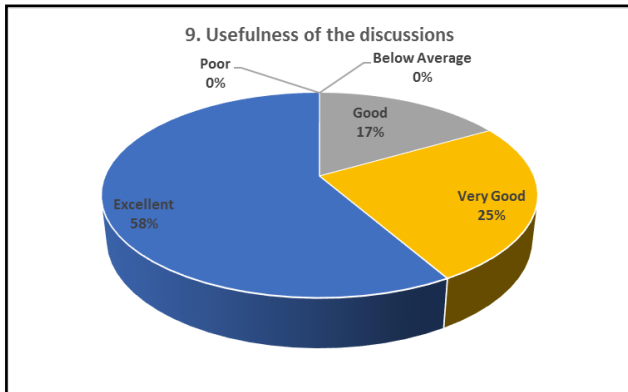
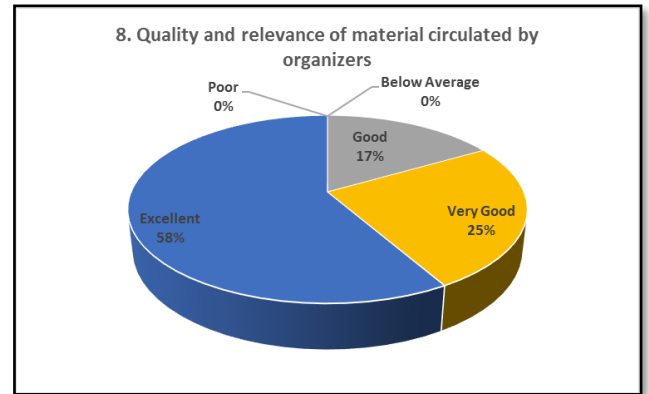
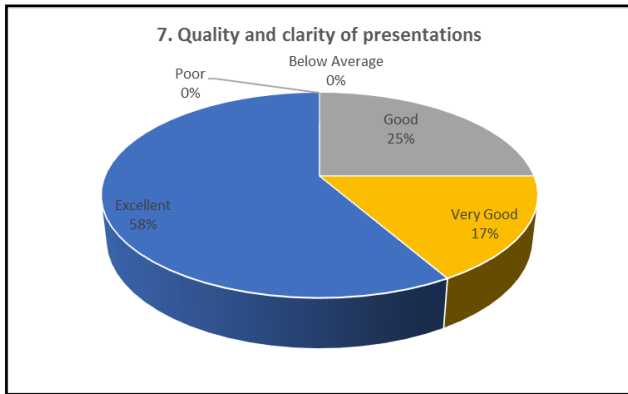
Average of all of the above ratings of usefulness:

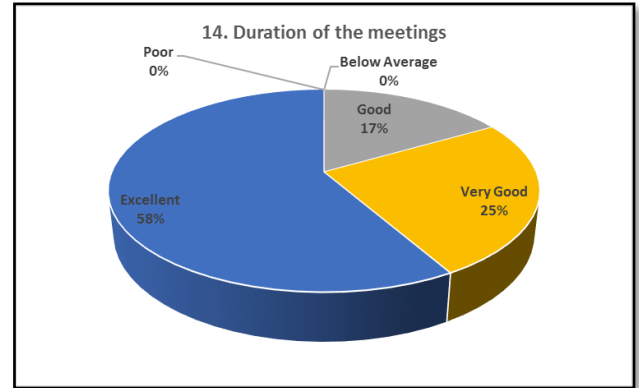
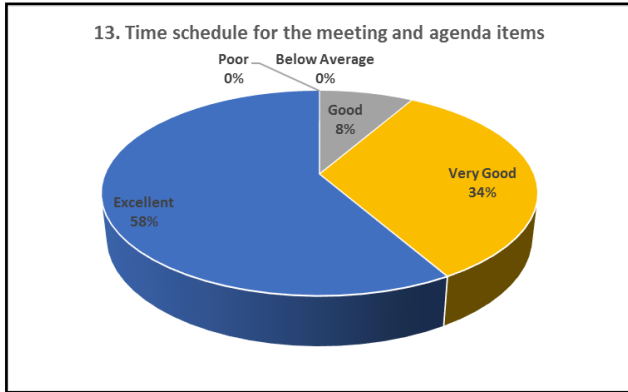


II. Rating the event in terms of:

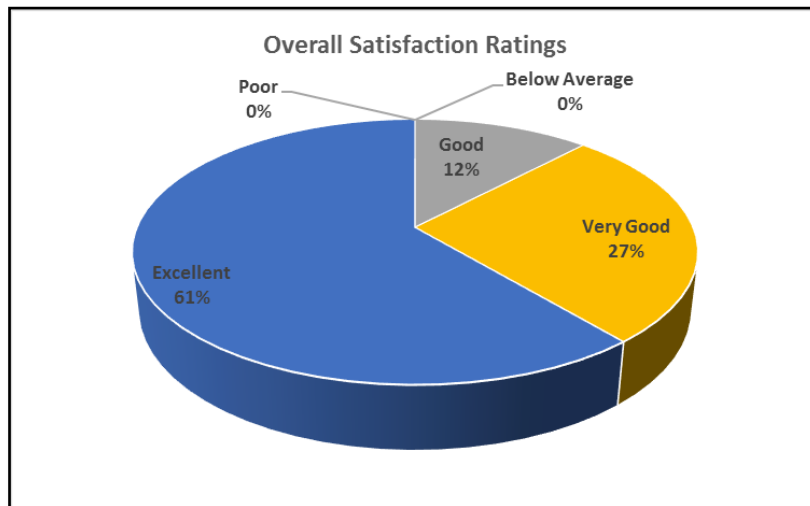


Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

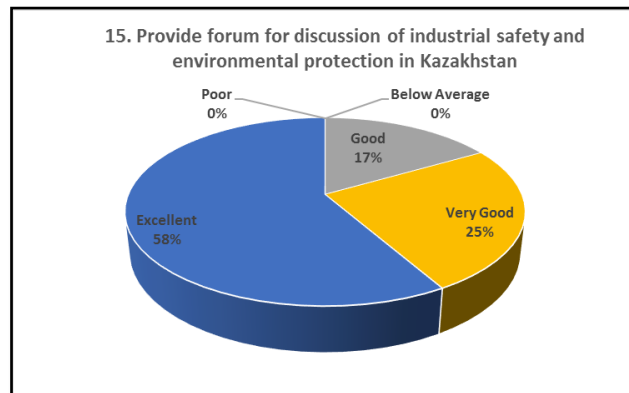


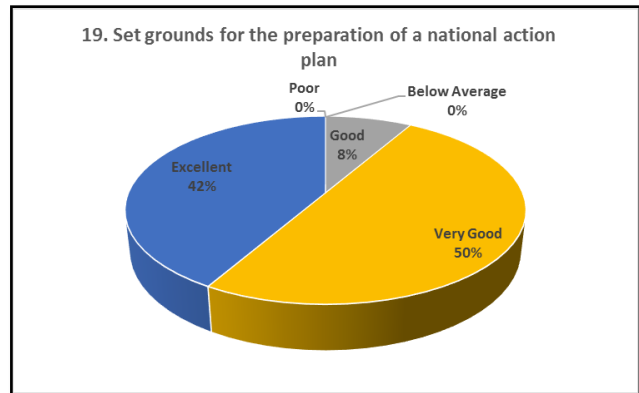
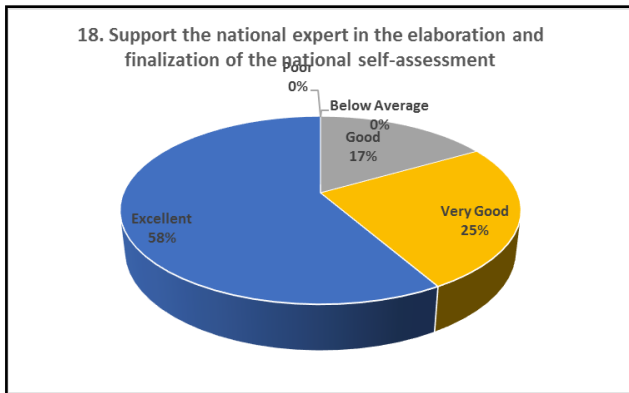
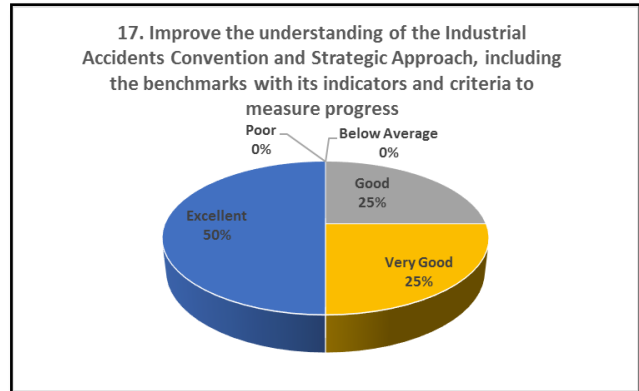
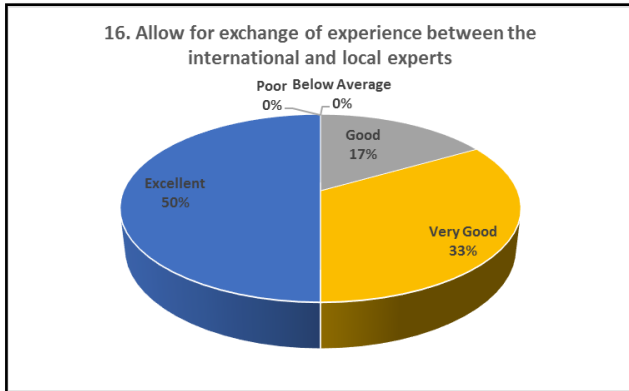


Average of all of the above ratings:

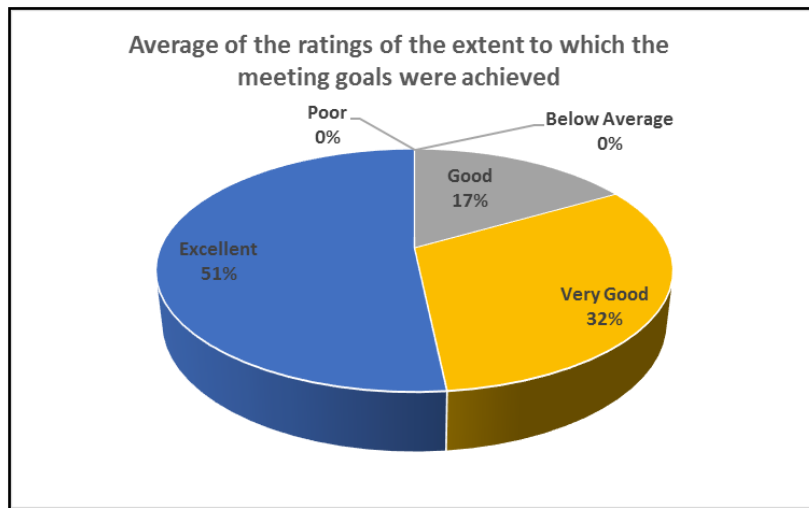


III. The extent to which the meeting goals were achieved:





Average of the rating of the extent to which the meeting goals were achieved:



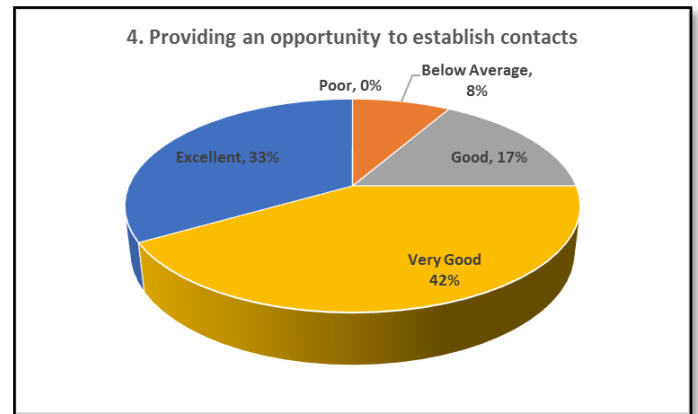
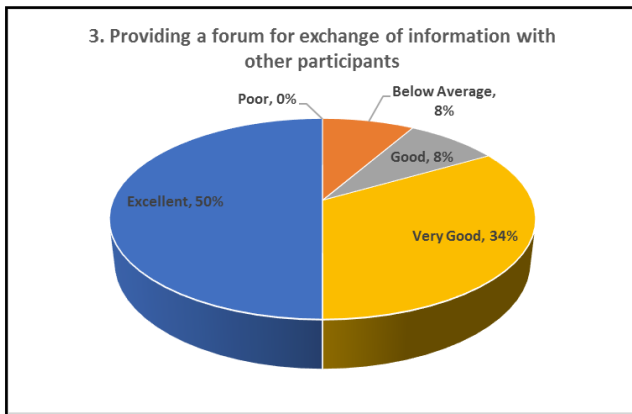
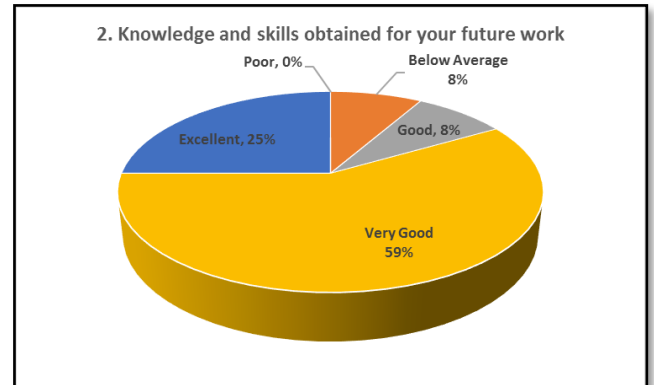
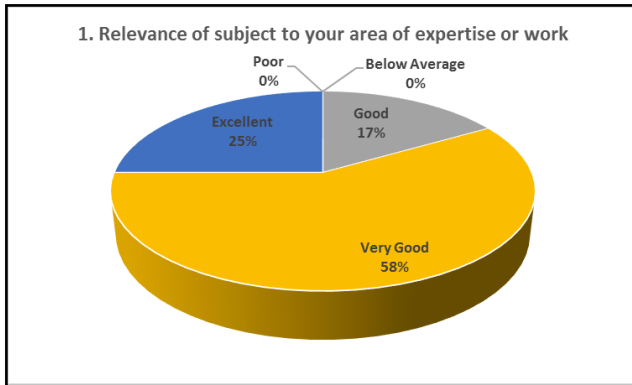
Evaluation Summary

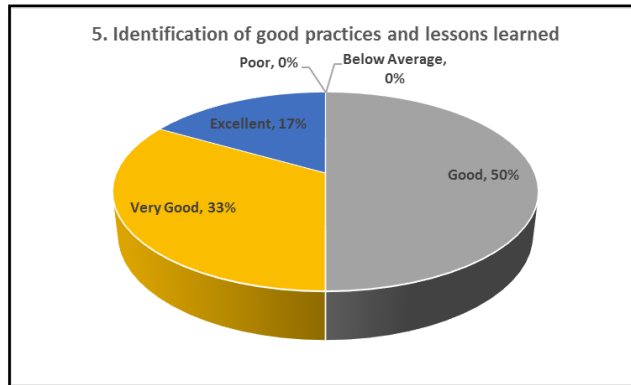
Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

Bishkek, 16–17 May 2017

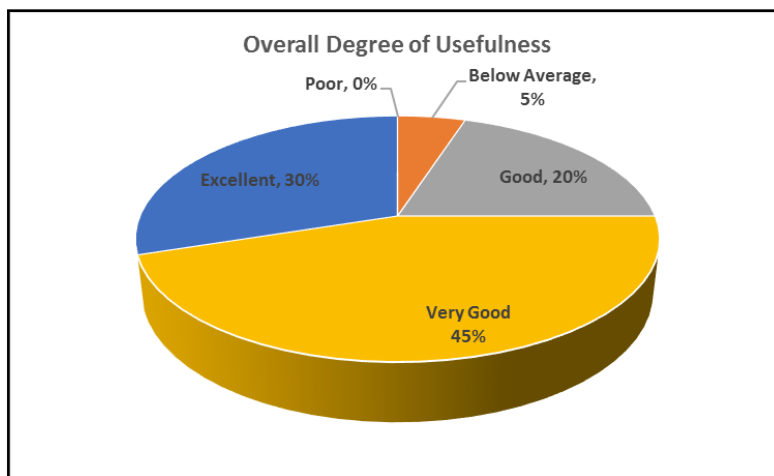
The participants were requested to indicate their opinion of various aspects of the workshop in terms of usefulness and organization. A total of 12 evaluation forms were submitted. A summary of feedback received is presented below.

I. Degree of usefulness of the event in terms of:

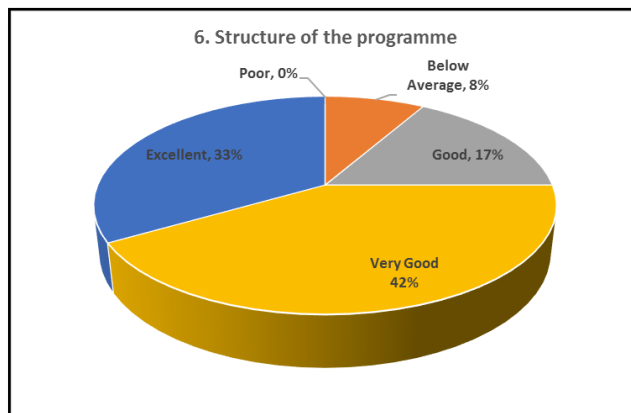


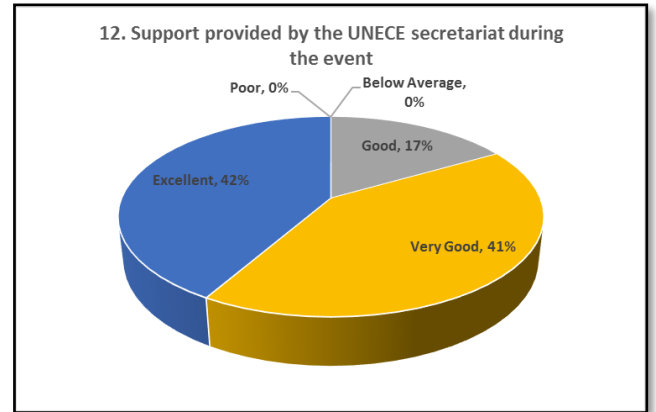
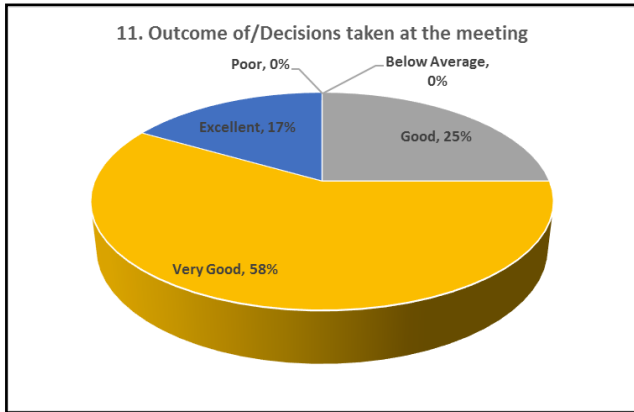
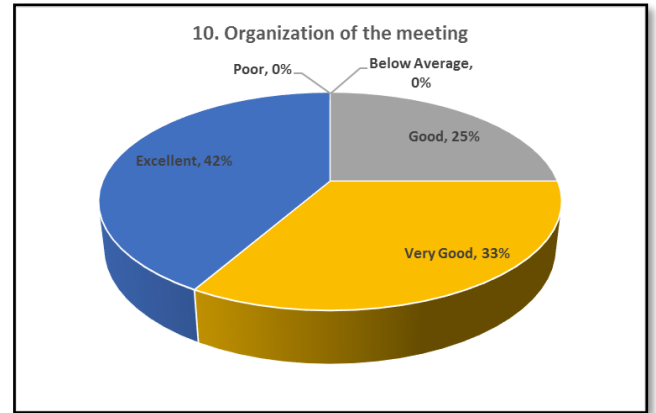
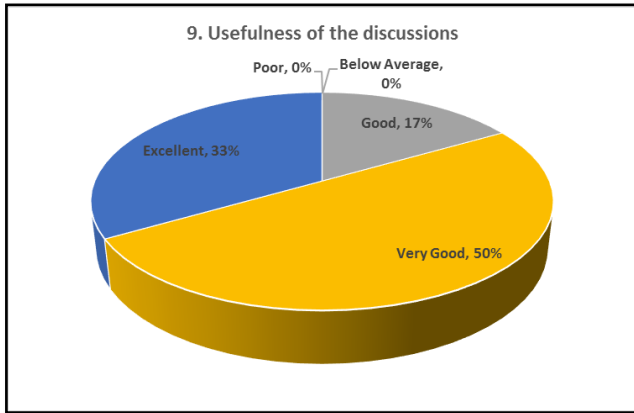
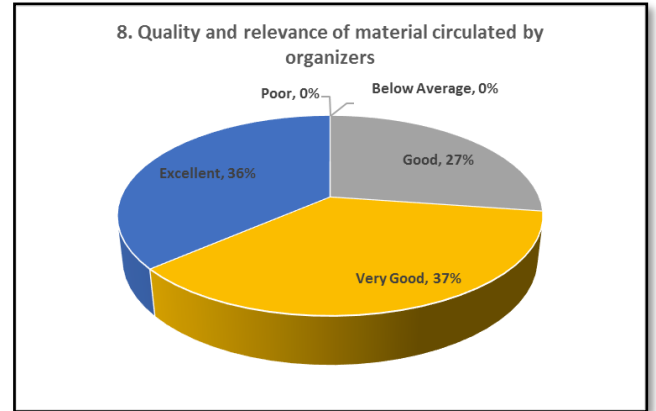
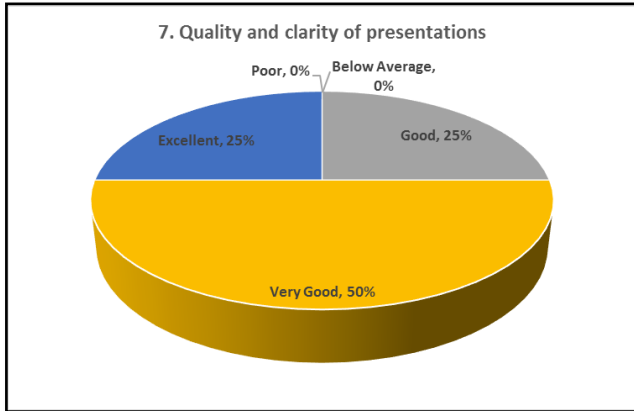


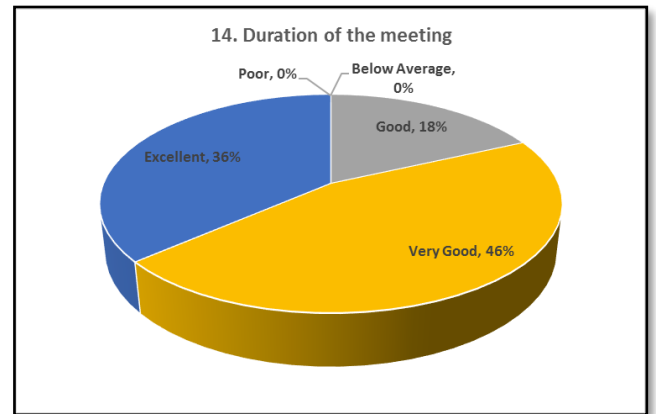
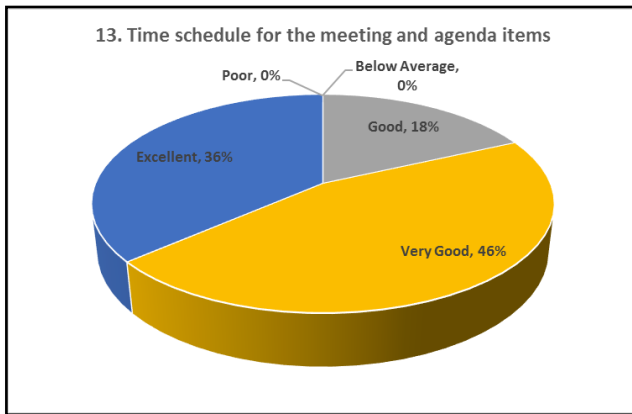
Average of all of the above ratings of usefulness:



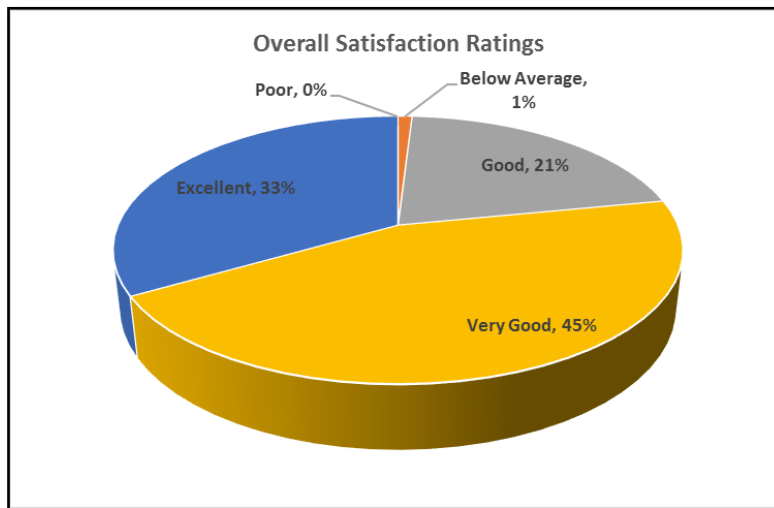
II. Rating the event in terms of:





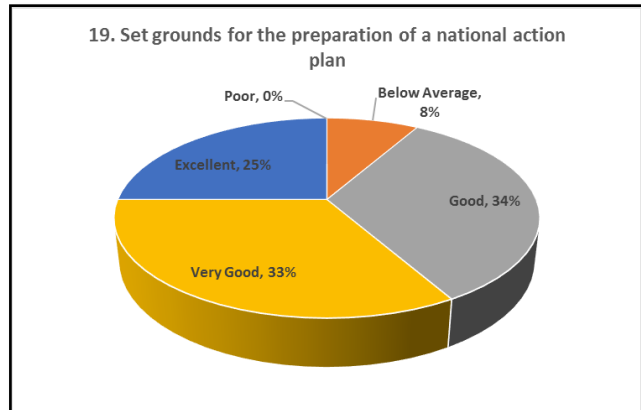
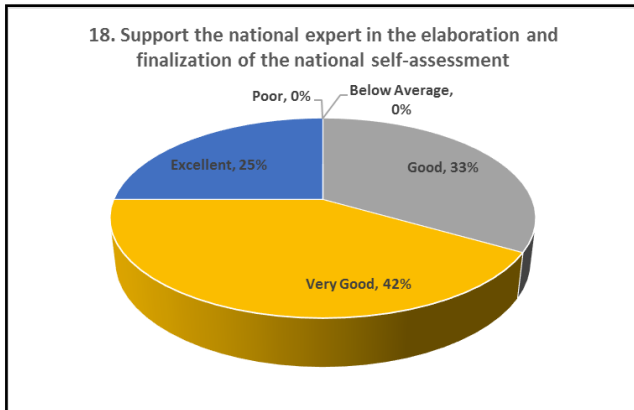
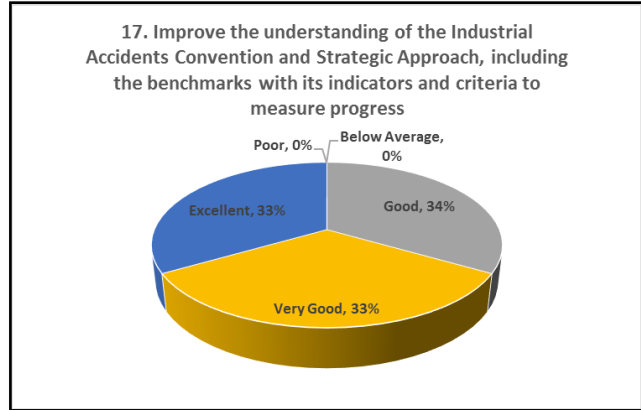
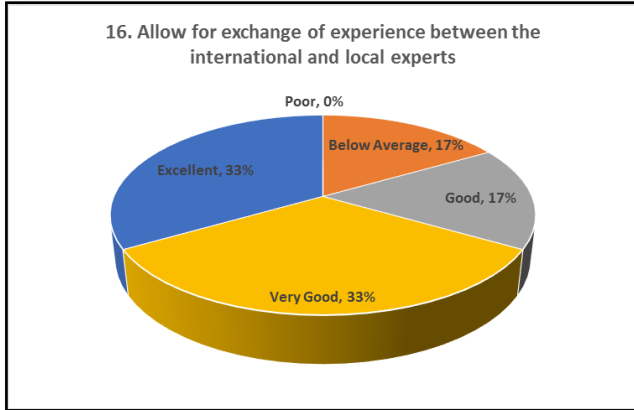


Average of all of the above ratings:

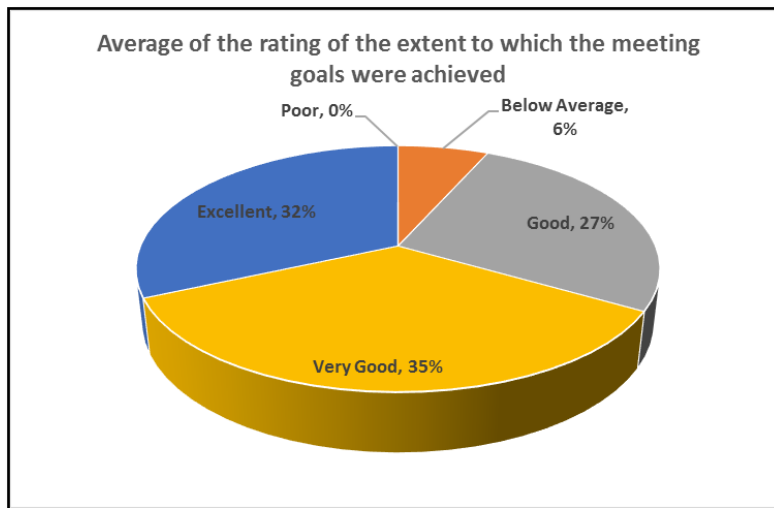


III. The extent to which the meeting goals were achieved:





Average of the rating of the extent to which the meeting goals were achieved:



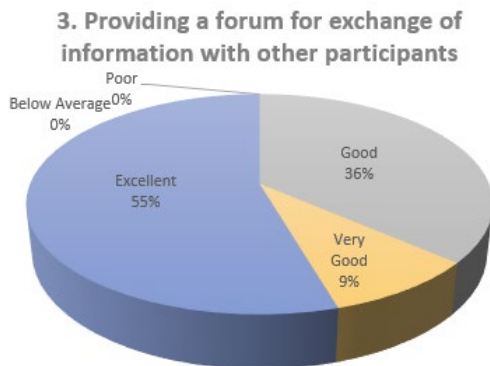
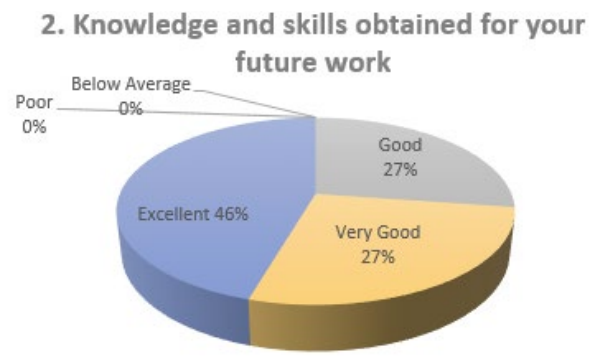
ANNEX 7.3.: Evaluation Summary

Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

Dushanbe, 13-14 March 2018

The participants were requested to indicate their opinion of various aspects of the workshop in terms of usefulness and organization. A total of 11 evaluation forms were submitted. A summary of feedback received is presented below.

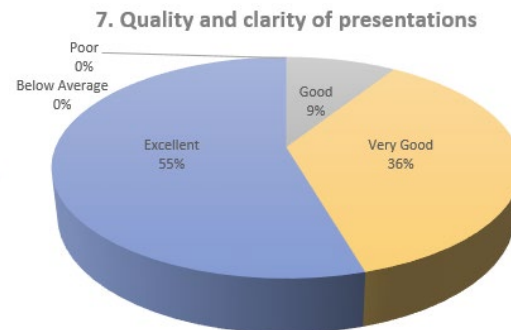
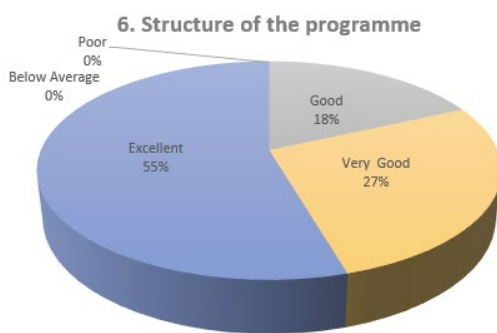
I. Degree of usefulness of the event in terms of:



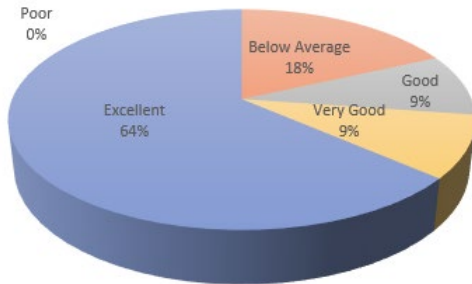
Average of all of the above ratings of usefulness:



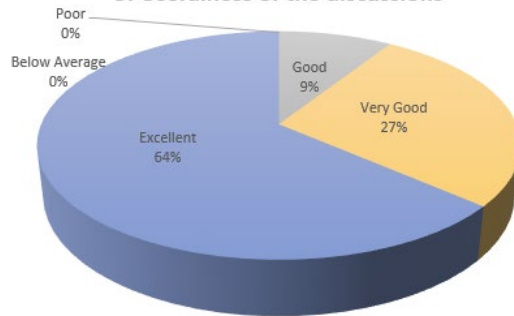
II. Rating the event in terms of:



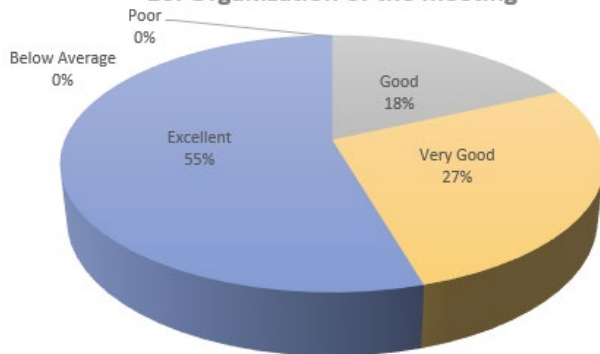
8. Quality and relevance of material circulated by the organizers



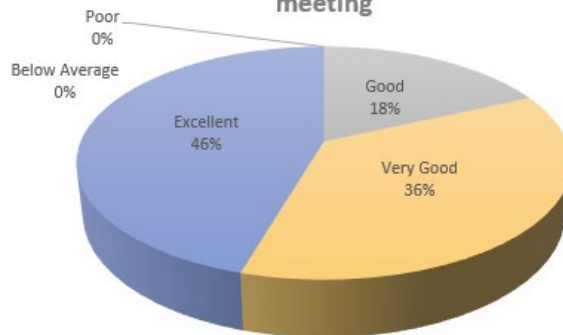
9. Usefulness of the discussions



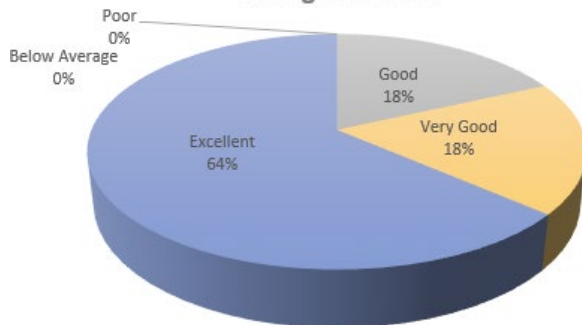
10. Organization of the meeting



11. Outcome of/ Decisions taken at the meeting



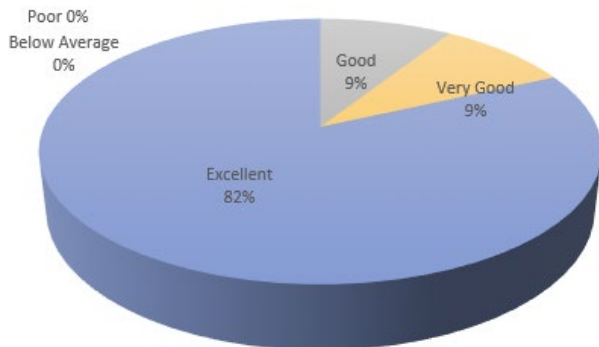
12. Support provided by the UNECE secretariat during the event



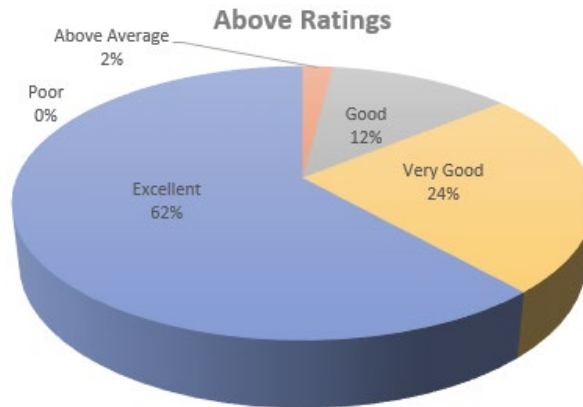
13. Time schedule for the meeting and agenda items



14. Duration of the meeting

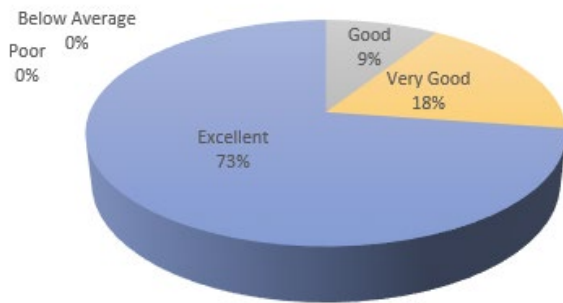


Average of all of the above ratings:

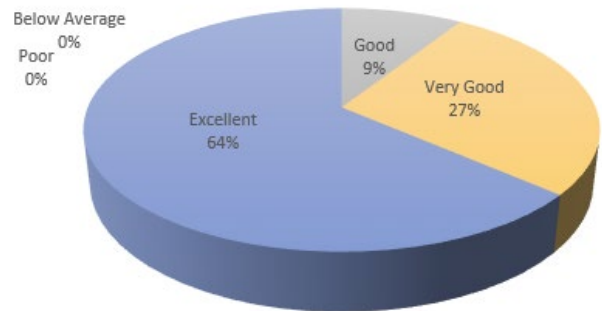


III. The extent to which the meeting goals were achieved:

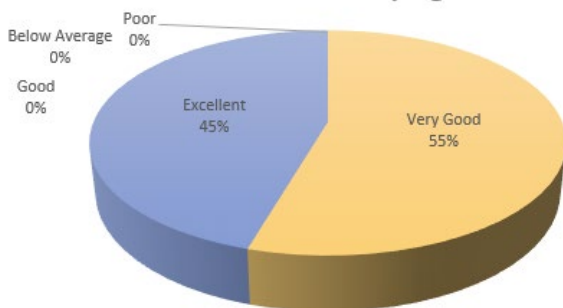
15. Provide forum for discussion of industrial safety and environmental protection in Tajikistan



16. Allow for exchange of experience between the international and local experts



17. Improve the understanding of the Industrial Accidents Convention and Strategic Approach, including the benchmarks with its indicators and criteria to measure progress



18. Support the national expert in the elaboration and finalization of the national self-assessment



19. Set grounds for the preparation of a national action plan



Average of the rating of the extent to which the meeting goals were achieved:



Comments:

- 1) National Expert Group Meeting allowed us to better understand the Convention, learn about landmarks for the implementation of the Convention.

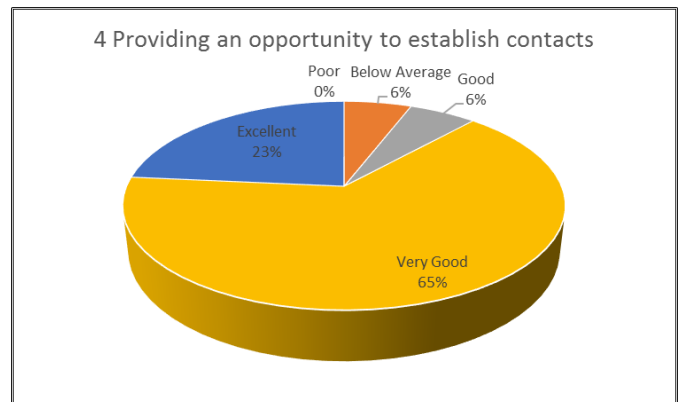
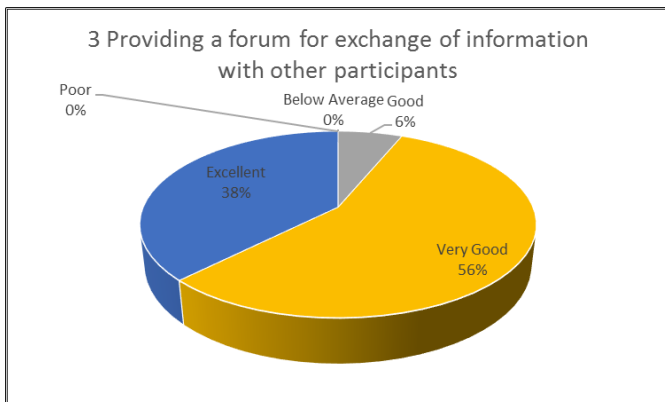
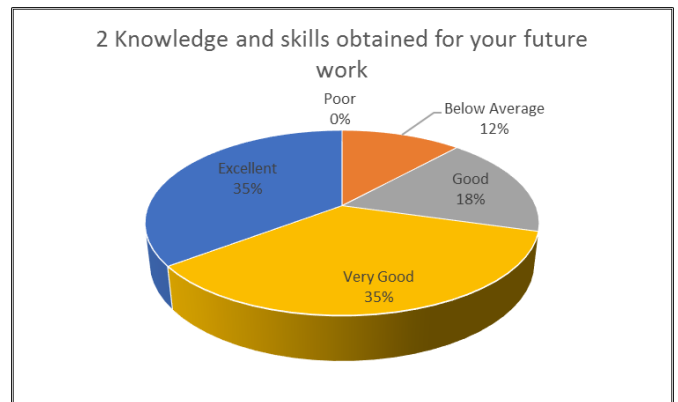
ANNEX 7.4.: Evaluation Summary

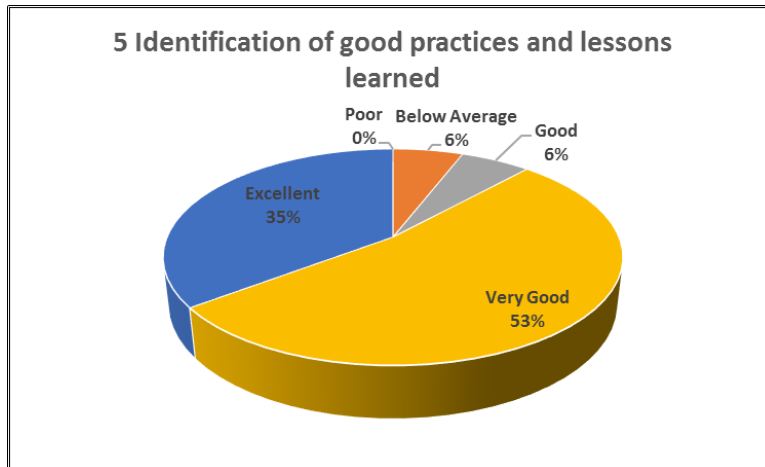
Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

Ashgabat, 24-25 January 2018

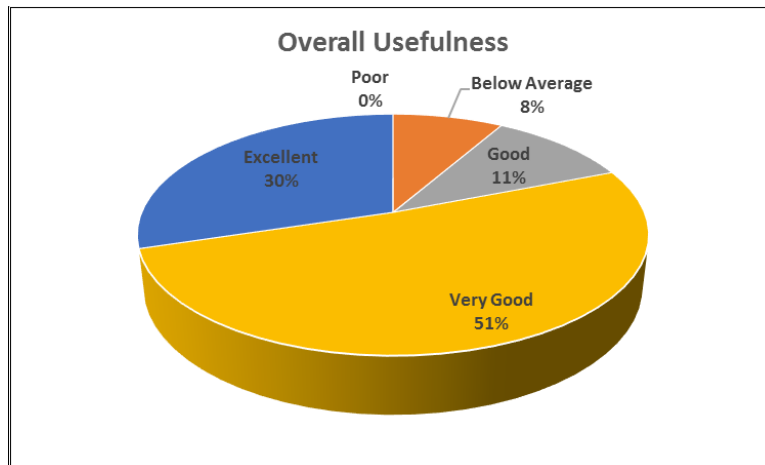
The participants were requested to indicate their opinion of various aspects of the workshop in terms of usefulness and organization. A total of 17 evaluation forms were submitted. A summary of feedback received is presented below.

I. Degree of usefulness of the event in terms of:

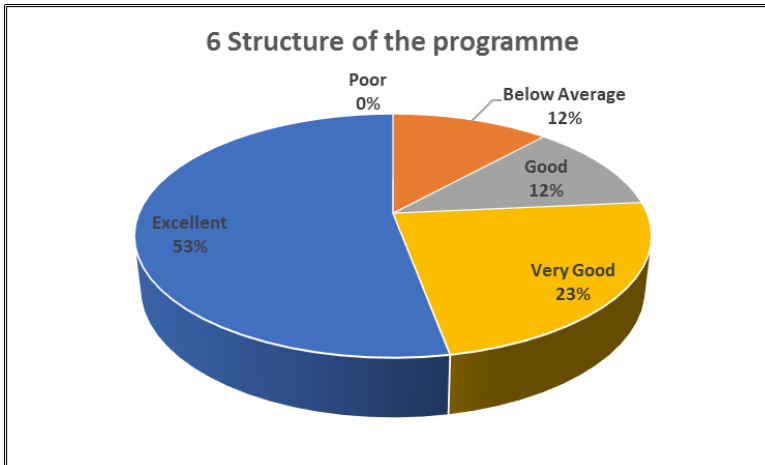


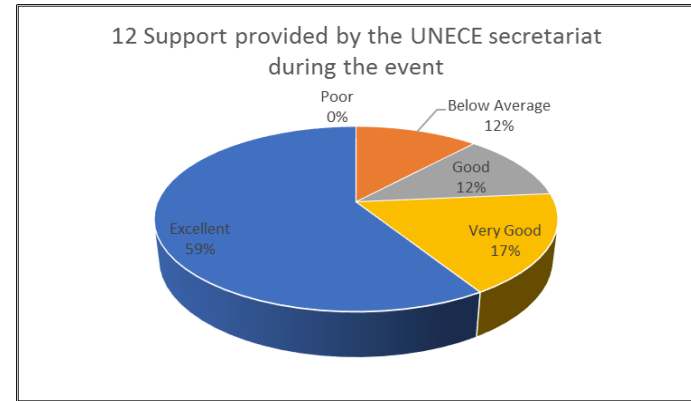
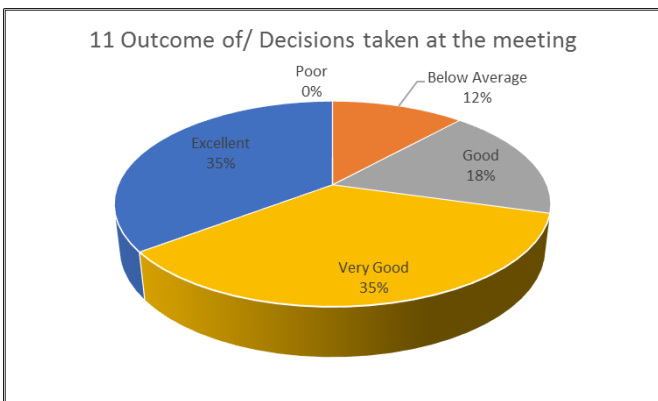
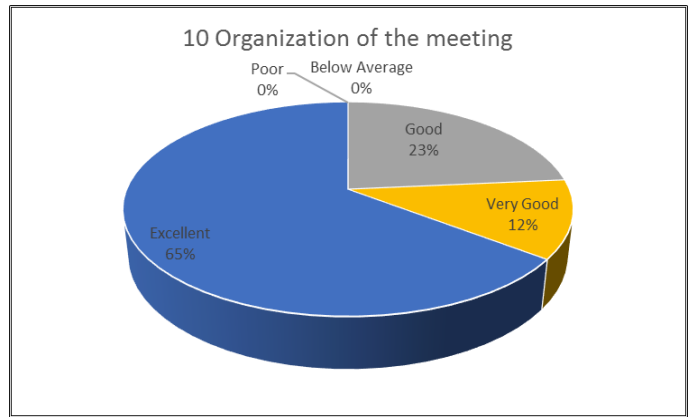
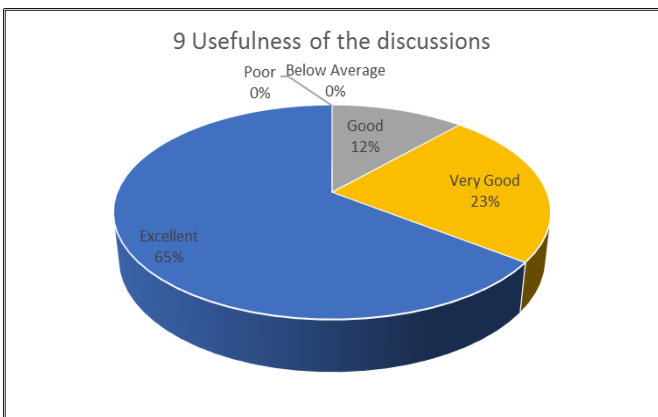
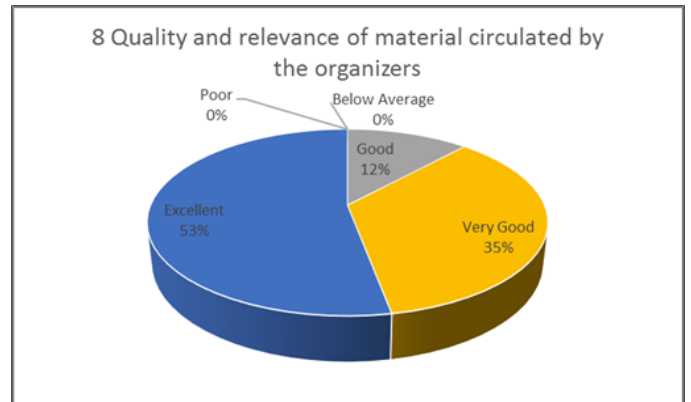
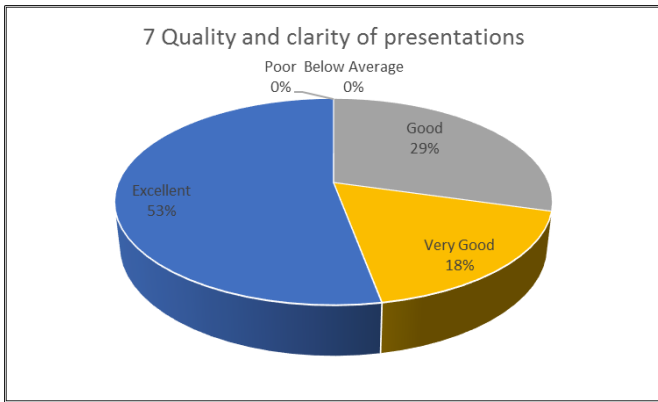


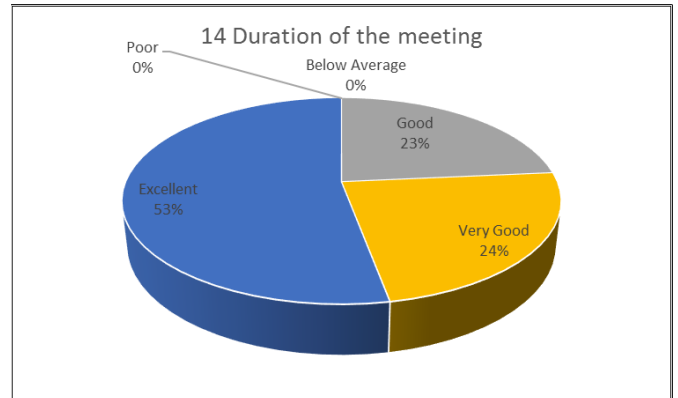
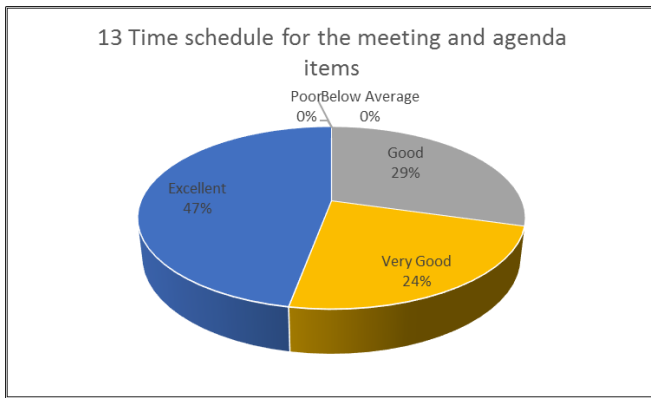
Average of all of the above ratings of usefulness:



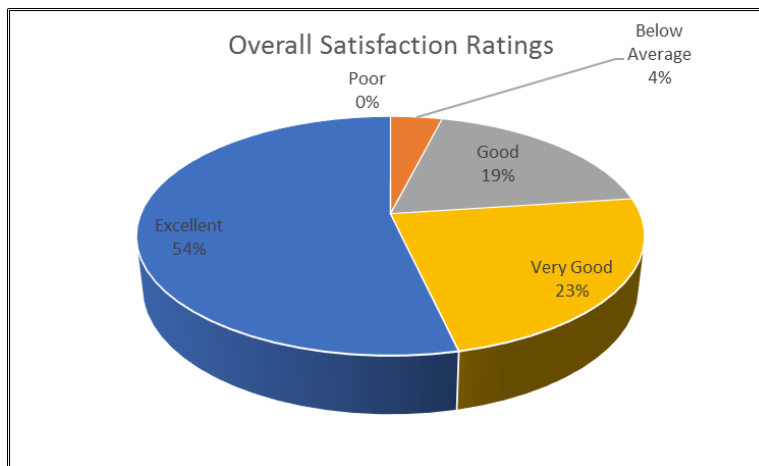
II. Rating the event in terms of:



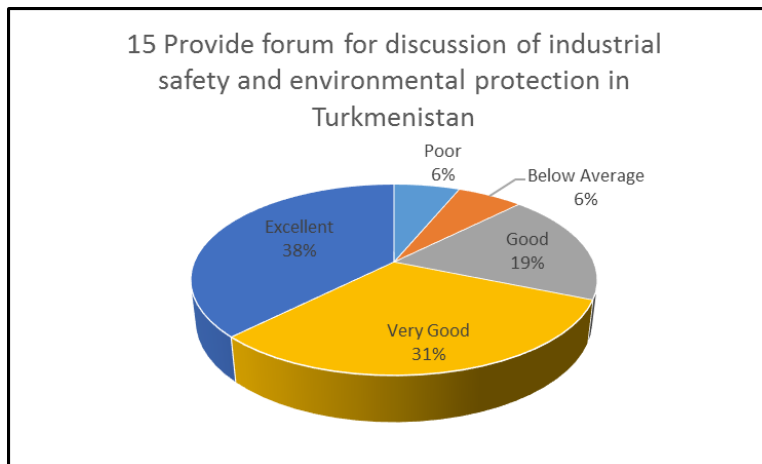




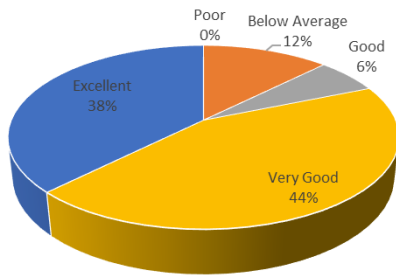
Average of all of the above ratings:



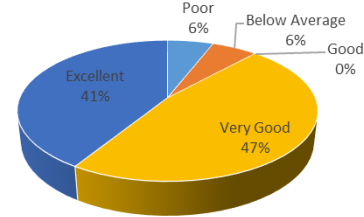
III. The extent to which the meeting goals were achieved:



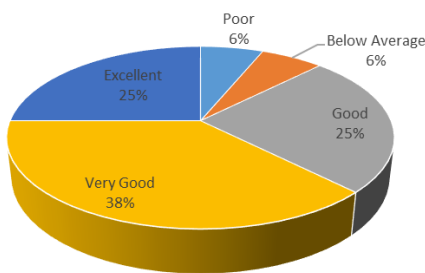
16 Allow for exchange of experience between the international and local experts



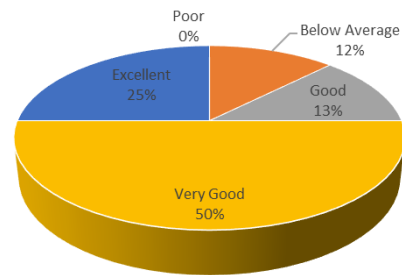
17 Improve the understanding of the Industrial Accidents Convention and Strategic Approach, including the benchmarks with its indicators and criteria to measure progress



18 Support the national expert in the elaboration and finalization of the national self-assessment

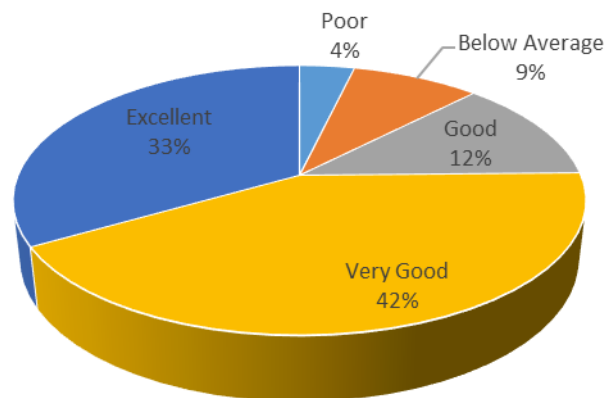


19 Set grounds for the preparation of a national action plan



Average of the rating of the extent to which the meeting goals were achieved:

Average of the rating of the extent to which the meeting goals were achieved



Comments:

- 1) It is necessary to continue for a better understanding and improvement.
- 2) We would like to receive the final version of the improved self-assessment.
Moreover, we would like to express our gratitude to the experts for their work, dedicated time, shared experience and for the delivered information.

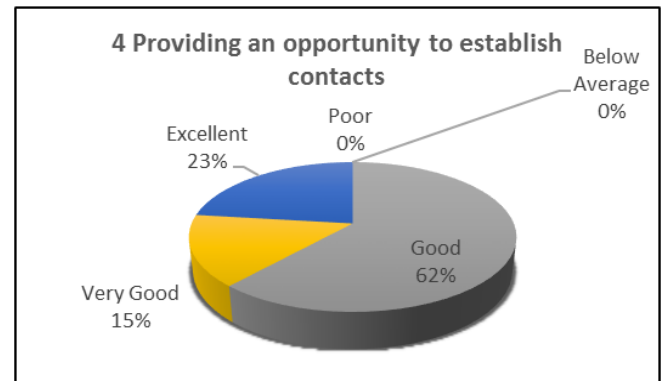
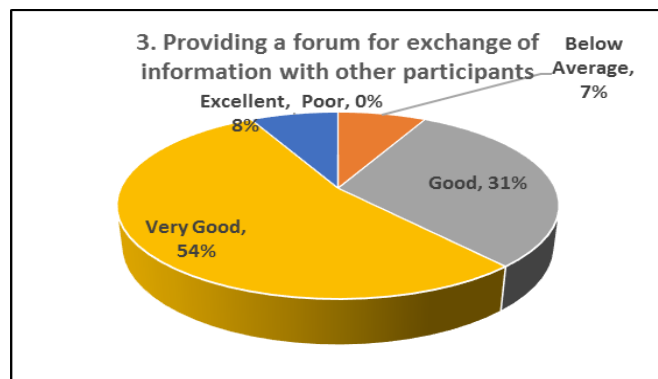
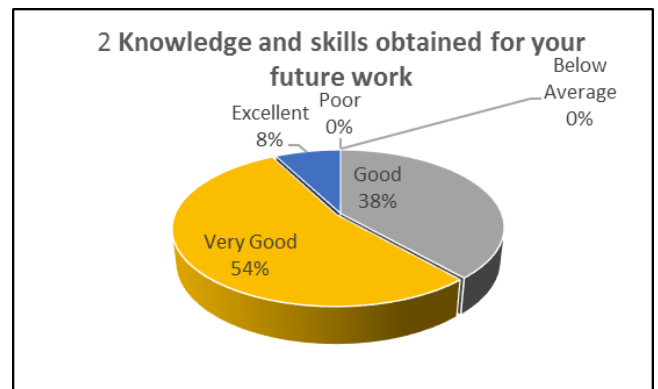
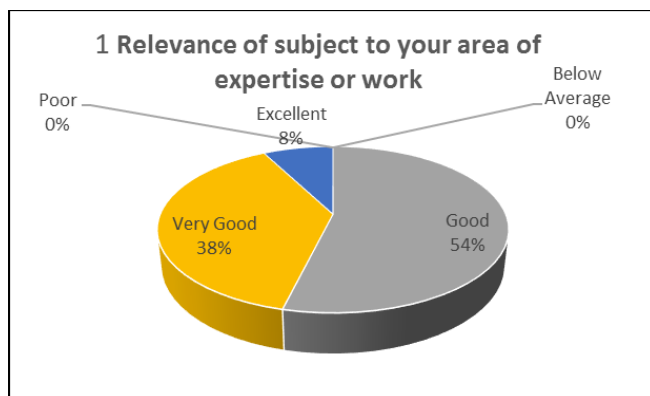
ANNEX 7.5.: Evaluation Summary

Project: “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents”.

Tashkent, 7 February 2018

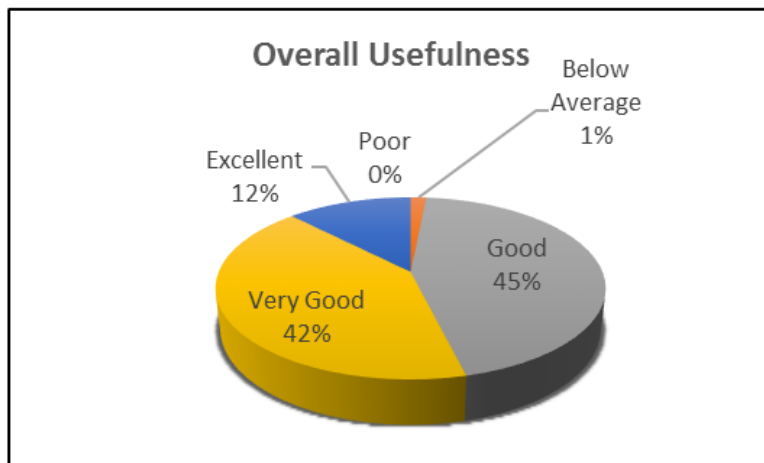
The participants were requested to indicate their opinion of various aspects of the workshop in terms of usefulness and organization. A total of 14 evaluation forms were submitted. A summary of feedback received is presented below.

I. Degree of usefulness of the event in terms of:

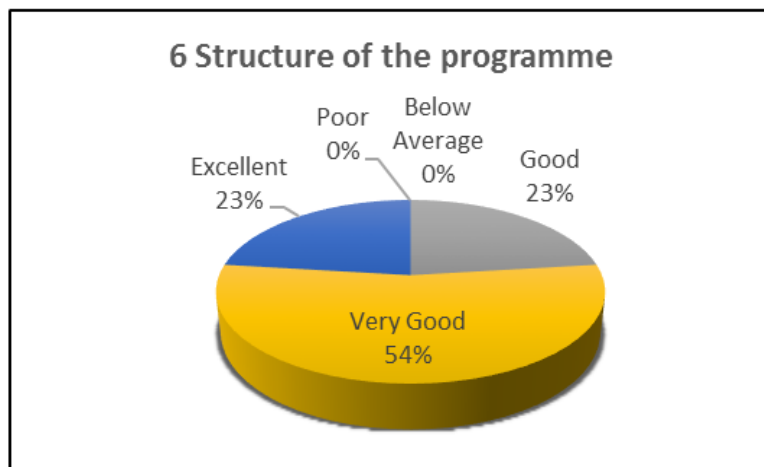




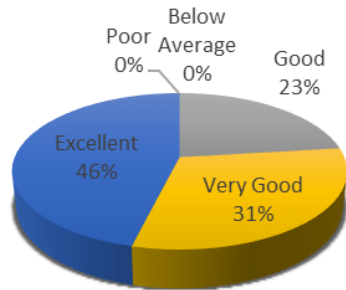
Average of all of the above ratings of usefulness:



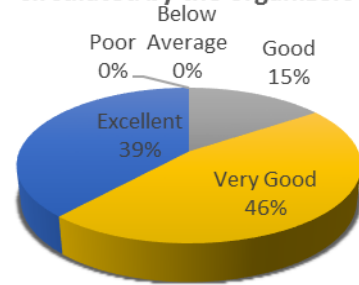
II. Rating the event in terms of:



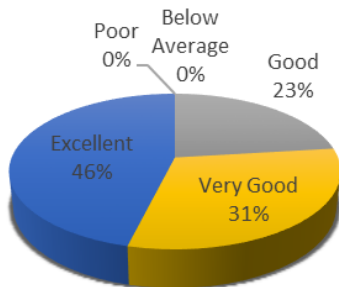
7 Quality and clarity of presentations



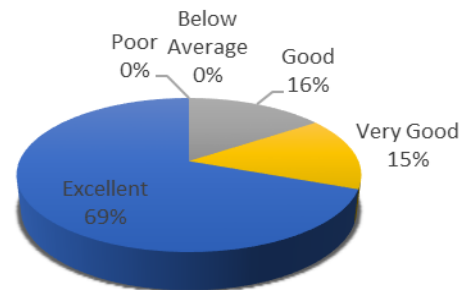
8 Quality and relevance of material circulated by the organizers



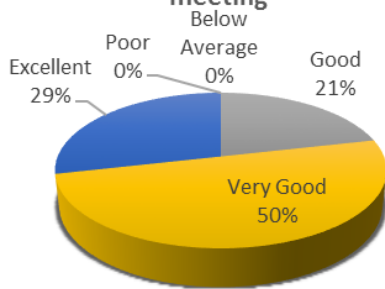
9 Usefulness of the discussions



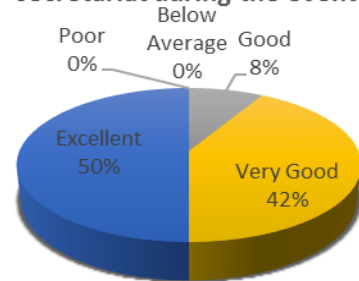
10 Organization of the meeting

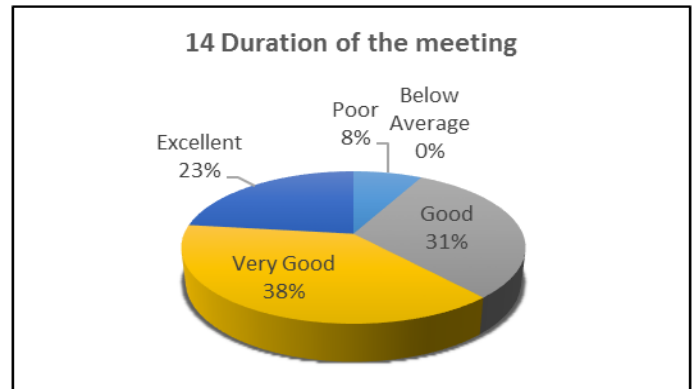
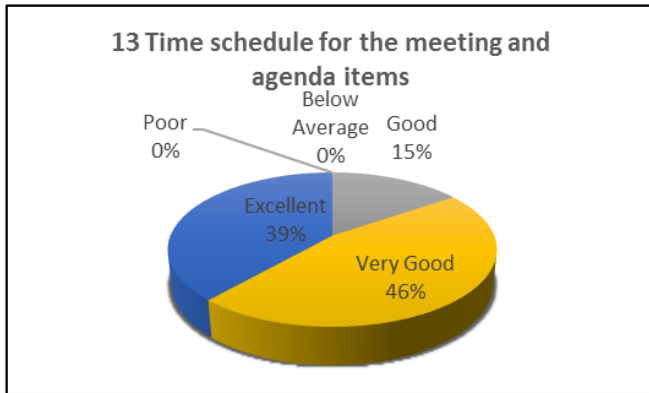


11 Outcome of/ Decisions taken at the meeting

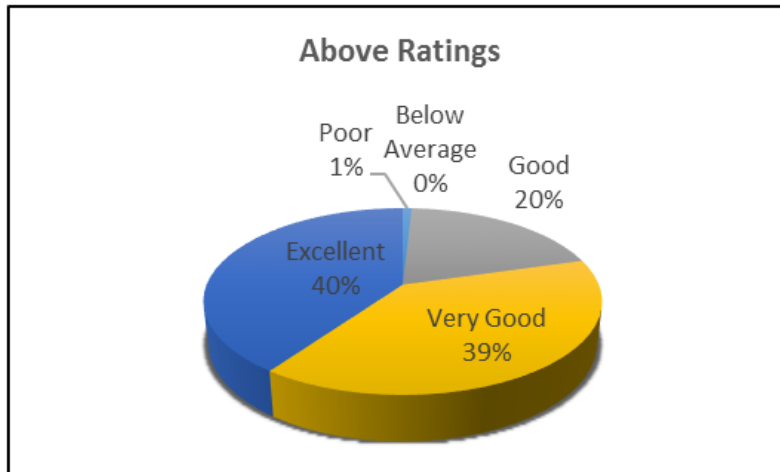


12 Support provided by the UNECE secretariat during the event

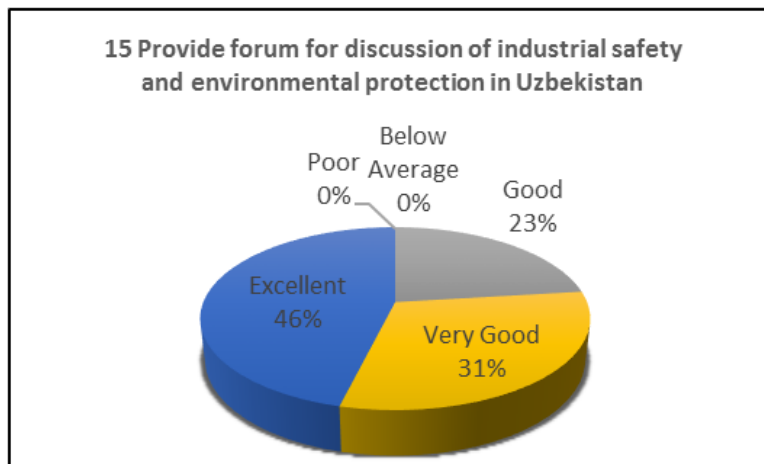




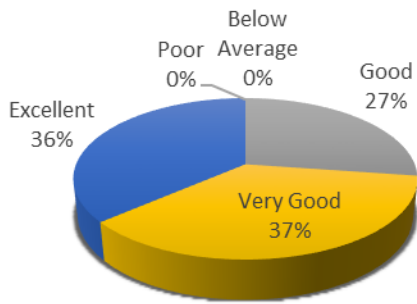
Average of all of the above ratings:



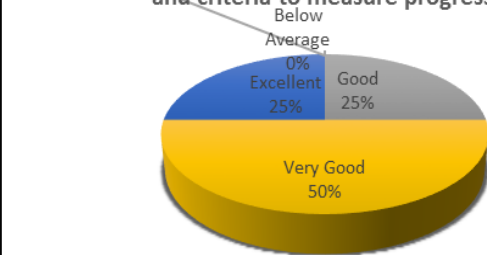
III. The extent to which the meeting goals were achieved:



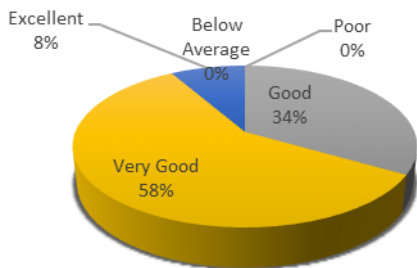
16 Allow for exchange of experience between the international and local experts



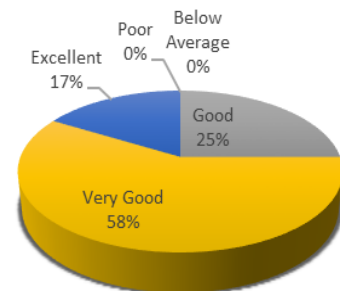
17 Improve the understanding of the Industrial Accidents Convention and Strategic Approach, including the benchmarks with its indicators and criteria to measure progress



18 Support the national expert in the elaboration and finalization of the national self-assessment

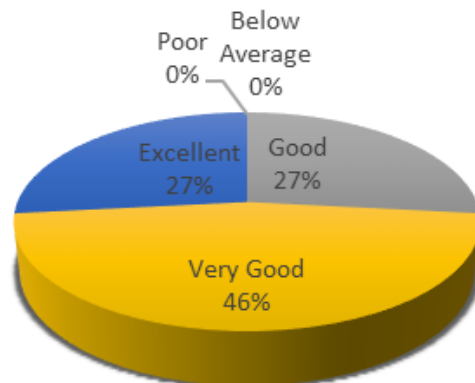


19 Set grounds for the preparation of a national action plan



Average of the rating of the extent to which the meeting goals were achieved:

Goals Achieved



Comments:

- 1) I fully support the project “Strengthening industrial safety in Central Asia through the implementation and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents” (expert of “Uznimesonaat” Mr. Zhurzaev)
- 2) The best part of the seminar was the introduction of the Convention UN. I learned a lot. It is necessary to hold the seminars more often.



UNITED
NATIONS
DEVELOPMENT
GROUP



THEORY OF CHANGE

UNDAF CAMPAIGN GUIDANCE

TABLE OF CONTENTS

1. INTRODUCTION	3
2. THE CONCEPT	4
What is a theory of change?.....	4
Purpose: Why use a theory of change?.....	4
Methodology: How to develop a theory of change?.....	4
Key principles for developing a theory of change	5
Key steps for developing a theory of change	5
3. MOVING FROM THEORY TO PRACTICE	6
Step 1: Focus	7
Step 2: Change analysis.....	6
Step 3: Make assumptions and risks explicit.....	8
Step 4: Identify partners and key actors.....	9
4. LESSONS LEARNED, TIPS AND GOOD PRACTICE FROM REAL COUNTRY EXAMPLES	10
Validate and quality assure the theory of change	7
Applying a theory of change to the UNDAF process	11
5. TOOLS AND RESOURCES	14

1. INTRODUCTION

The purpose of this companion guidance is to provide practical and hands-on technical guidance on developing a theory of change as an integral part of the United Nations Development Assistance Framework (UNDAF) process. It should be read as a complement to the 2017 UNDAF Guidance and relates closely to the other seven companion guidance papers on programming principles, the UN Vision 2030, the Common Country Analysis (CCA), communications and advocacy, capacity development, monitoring and evaluation, and funding to financing.

A theory of change is a method that explains how a given intervention, or set of interventions, are expected to lead to a specific development change, drawing on a causal analysis based on available evidence. In the UNDAF context, a thorough theory of change helps guide the development of sound and evidence-based programme strategies, with assumptions and risks clearly analysed and spelled out.

To facilitate the process of developing a sound theory of change, the present companion guidance proceeds as follows:

- Section 2, The Concept, further defines the theory of change and explains its purpose as applied to the UNDAF process. It also offers a brief outline of the methodology used to develop a theory of change.
- Section 3, Moving from Theory to Practice, provides a step-by-step methodology, presenting in greater detail each of four key steps required in the process.
- Section 4, Lessons Learned and Tips, emphasizes the need to validate the theory of change, including a quality assurance check list. It also explains how to reflect the theory of change in different sections of the UNDAF document.
- Finally, links to helpful tools and references are provided in Section 5.

2. THE CONCEPT

WHAT IS A THEORY OF CHANGE?

A theory of change is a method that explains how a given intervention, or set of interventions, is expected to lead to specific development change, drawing on a causal analysis based on available evidence. A theory of change for the UNDAF must be driven by sound analyses, consultation with key stakeholders and learning on what works and what does not in diverse contexts drawn from the experiences of the UN and its partners. A theory of change helps to identify solutions to effectively address the causes of problems that hinder progress and guide decisions on which approach should be taken, considering UN comparative advantages, effectiveness, feasibility and uncertainties that are part of any change process. A theory of change also helps to identify the underlying assumptions and risks that will be vital to understand and revisit throughout the process to ensure the approach will contribute to the desired change.

PURPOSE: WHY USE A THEORY OF CHANGE?

First, development challenges are complex, and are typically caused by many factors and layers that are embedded deeply in the way society functions. For example, opening a legal aid clinic may not lead to more women accessing justice services unless issues of cultural sensitivities, needed legal reforms and childcare constraints are addressed as well. A theory of change can help a United Nations Country Team (UNCT) systematically think through the many underlying and root causes of development challenges, and how they influence each other, when determining what an UNDAF should address as a priority to maximize the UN's contribution to achieving development change.

Second, a theory of change provides a framework for learning both within and between programming cycles. By articulating the causes of a development challenge, making assumptions explicit on how the proposed strategy is expected to yield results, and testing these assumptions against evidence—including what has worked well, or not, in the past—the theory of change helps ensure a sound logic for achieving change. The theory of change also helps make course corrections if the selected

approach is not working or if anticipated risks materialize. New learning and lessons from monitoring and evaluation help refine assumptions and inform decisions on how an approach should be adapted to deliver planned results. Adjustments to the theory of change should also be made in light of changing circumstances, especially in response to crisis and shocks, as well as part of regular monitoring.

Third, the theory of change is increasingly being utilized as a means for developing and managing partnerships and partnership strategies. The process of agreeing on a theory of change establishes different views and assumptions among programme planners, beneficiaries, donors, programme staff, etc. It can foster consensus and motivate stakeholders by involving them early in the planning process and by showing them how their work contributes to long-term impact. It can help others to understand and support the UN's contribution to change, as well as strengthen collaboration with other organizations that aim to contribute to the same outcomes, leading to stronger or new partnerships and better complementarity and coordination.

Finally, a common theory of change for an UNDAF is the basis for more effective and unified communication by the UNCT by clearly articulating its shared vision and strategy for how change can happen. A theory of change diagram or short text is a neat and succinct way to summarize the purpose of the UN's work and communicate it to beneficiaries, stakeholders, donors, governments and other partners. It emphasizes real change to counterbalance discussions focused solely on resources, activities and outputs of different members of the UNCT.

METHODOLOGY: HOW TO DEVELOP A THEORY OF CHANGE?

The UNDAF approach to the theory of change aims to bring improved clarity and quality to the process of programme design and implementation using a simple, flexible methodology. An overarching theory of change should be developed for the UNDAF to help explain the outcome areas prioritized by the UN system and for gender equality if there is no standalone outcome on it.

In addition, theories of change can be elaborated for each outcome area as a basis for identifying and explaining the UNDAF outputs included in the joint Results Group work plans. This methodology recommends three key principles and four sequenced steps for developing a theory of change.

KEY PRINCIPLES FOR DEVELOPING A THEORY OF CHANGE:

- a) It should be developed **consultatively** to reflect the understanding of all relevant stakeholders;
- b) It should be grounded in, tested with, and revised based on robust **evidence** at all stages; and
- c) It should support **continuous learning** and improvement from programme design to closure.

KEY STEPS FOR DEVELOPING A THEORY OF CHANGE:

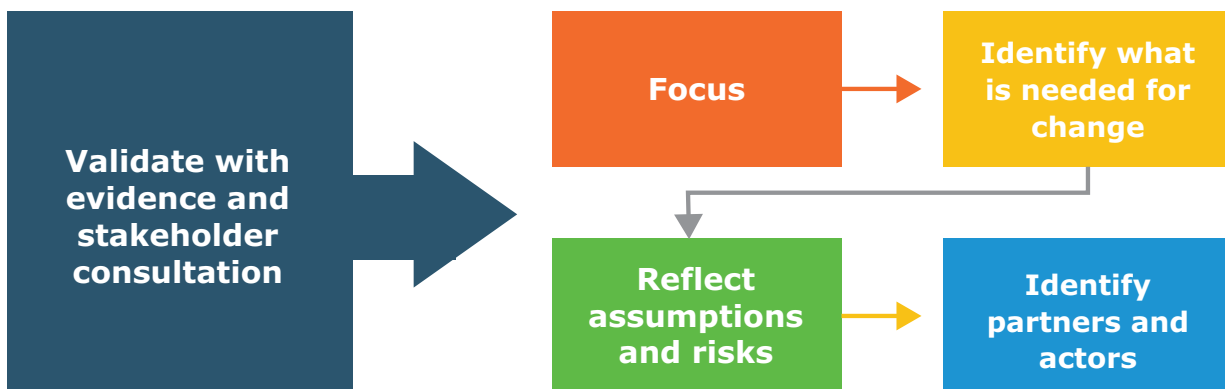
- 1. **Focus** on the high-level change the UN intends to contribute to in the context of the [CCA \(hyperlink to CCA CGP\)](#) and the [UN Vision 2030 \(hyperlink to UN Vision 2030 CGP\)](#)
- 2. Identify **what is needed** for the desired development change to happen, informed by the problem tree analysis in the CCA and other evidence, and how partners are contributing to this change.

- 3. Establish and make explicit the related key **assumptions** underpinning the theory of how change happens, and major **risks** that may affect it.
- 4. **Identify partners and actors** who will be most relevant for achieving each result, taking into account the related risks and assumptions.

While developing the theory of change, it is necessary to **validate** the various steps against available evidence and the perspectives of other stakeholders to ensure that the analysis is sound and the key assumptions are plausible, including assumptions about the roles that will be played by partners and other key actors. It is also important that the theory of change is consistent with the overall purpose and principles of the UNDAF.

Figure 1 illustrates the four key steps for developing a theory of change and the importance of validating each step against available evidence. In Section 3, the four key steps are discussed in detail, providing a step-by-step methodology.

Figure 1: UNDAF theory of change steps



3. MOVING FROM THEORY TO PRACTICE

STEP 1: FOCUS

This step is normally done as part of the [UN Vision 2030 \(hyperlink to UN Vision 2030 CGP\)](#) exercise and based on evidence in the [CCA \(hyperlink to CCA CGP\)](#), **identifying the change needed in the five years covered by the UNDAF.**

The UN Vision 2030 provides the strategic prioritization that defines the UN system's primary contributions to supporting national attainment of the SDGs, based on the its comparative advantage and prioritizing issues that have a direct bearing on the lives of women and girls, as well as the most vulnerable and marginalized groups in the country. The overall UNDAF theory of change shows how UNDAF strategic priorities will support the country to progress from the situation described in the CCA to the achievement of national priorities and the SDGs as summarized in the UN Vision 2030.

The first step in developing the UNDAF theory of change involves selecting the key development challenges identified in the CCA that must be addressed in the medium term in order to achieve the SDGs. Noting current and possible future opportunities, the priorities of the government and of the populations concerned, and the capacity of all actors including the UNCT, the selection should determine the strategic priorities for UNDAF programming based on a set of criteria, including:

- **Equity:** The challenges and changes selected for further elaboration in the UNDAF theory of change should be those that are most important if development gains and human rights are to be enjoyed equitably across society, and in line with the principles of leaving no one behind and fostering gender equality.
- **Comparative advantage:** Does the UN have the mandate to address the problem and ability to develop lasting national capacities in this area? What are the areas where the UN can have the greatest impact?
- **Feasibility:** Is it likely that the UN can work in this area successfully?

STEP 2: CHANGE ANALYSIS

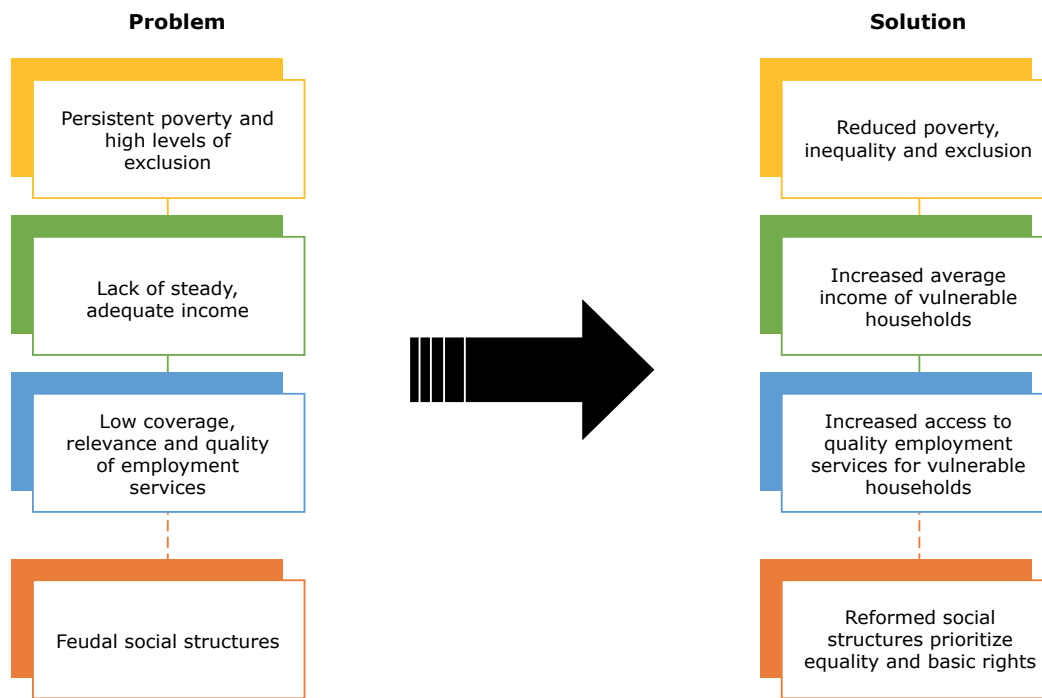
Having identified in Step 1 a small number of high-level changes, the UNCT should identify what is needed for the desired development changes to happen, informed by the CCA and other evidence, including previous learning, evaluation and what partners are already doing to contribute to this change. This exercise should be participatory to the extent possible, in order to develop a shared understanding and validate the choice among partners. It should also draw on the CCA's analysis of compliance with international norms and standards, and adherence to national commitments emerging from intergovernmental mechanisms and processes, particularly those that relate most directly to the high-level changes identified in Step 1.

The UNCT should start with the CCA identifying the immediate, underlying and structural/root causes of the high-level changes to be addressed during the UNDAF period, such as those related to multidimensional poverty, inequalities and discrimination, and the reasons why particular groups are left behind. One possible approach to this is developing a **problem tree**. The problem tree can include both humanitarian and development challenges as appropriate, which can help identify the inter-relationships between them.

The various branches of the problem trees should identify specific areas of work, which can be organized in pathways linking various levels of causes (immediate, underlying and structural) and which can show interlinkages among each other. The problem tree can then be used to develop a **solution tree**, making sure to identify expected solutions for each level of causality (immediate, underlying and structural) of the problem tree, to maintain the integrity of the logical flow of solutions to achieve the desired change. The solution tree does not need to be an exact mirror of the problem tree. Rather, the problem tree should be used to ensure the causes of the development problem are addressed in the proposed solutions. Capacity development needs and solutions should be clearly reflected in the underlying level of the problem and solution trees.

This analysis should include identifying the proven and potential enablers of change in the country to tackle protracted problems and bottlenecks, and advance UN programming, building on and going beyond what was achieved in the previous UNDAF cycle. The simplified example in Figure 2 illustrates how to turn a problem tree into a solution tree for one illustrative branch.

Figure 2: Turning a branch of a problem tree into a solution tree



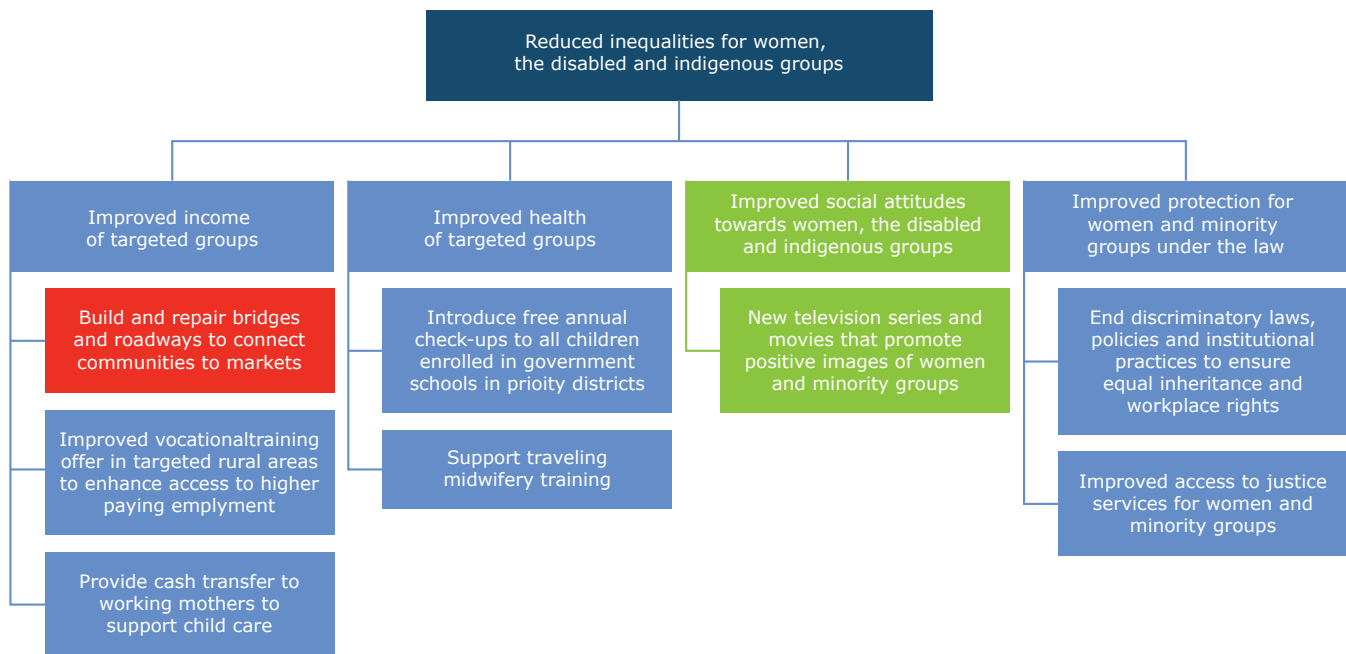
Envisaged solutions should be consistent with the criteria identified to focus the work of the UNCT in Step 1. The solution tree should also include how key partners are contributing to the development change, as identified in the funding to financing analysis. When articulating the solutions proposed by the UN in the country context, it is useful to demonstrate that they respond to the parameters of:

- Equity:** Are particular aspects of the solution tree most important to address in order to ensure that development gains and human rights are enjoyed equitably across society to leave no one behind and foster gender equality?
- Comparative advantage:** Which specific areas of the solution tree does the UN have the mandate and abilities to address? Are other partners already working to deliver some of the changes identified as needed steps within the solution tree? How does the UN's offer fit with those of other partners in jointly contributing to the desired higher level change?
- Feasibility:** Is it likely that the UN can implement the solution successfully? Considerations may include available resources, likelihood of partnerships necessary to realize the intended change, key risks relating to political, cultural or operational factors, and whether these can be effectively managed.
- What works and what does not work well:** What is the evidence, based on UN and other previous experiences, on the scale of change that has been achieved with this type of solution, in similar contexts? Have there been situations where this type of solution has not worked well? Can we learn from past mistakes to deploy better solutions? UNDAF mid-term reviews and evaluations are particularly useful sources of evidence.

Figure 3 illustrates a simplified solution tree. The tree shows the high-level outcomes that are necessary to achieve the ultimate objective of reduced inequalities for women, the disabled and indigenous groups. The evidence shows us that these high-level outcomes are best achieved by a set of output level results working together. While this entire diagram may represent all of the changes that need to take place in order for the objective to be achieved, the UNCT may only prioritize certain areas in the UNDAF on the understanding that other elements will be addressed by other partners and/or are not feasible for the UNCT to address during this period. In the below example, the UNCT has opted to focus on areas in light

blue, as the areas in orange and green will be adequately addressed by the international financial institutions and private sector. The UNCT will still monitor progress of the entire solution tree, however, because failure to achieve results in an area where other partners work will most likely hinder the achievement of the ultimate objective.

Figure 3: A simplified solution tree



The cause and effect relationship between the different results can be represented in graphic form through arrows and lines demonstrating relationships horizontally in addition to vertically. The UNCT should review the envisaged UNDAF results and development changes to ensure that they focus on the four UNDAF programming principles, in particular the overarching principle of leaving no one behind. Specifically, before moving on to define assumptions and risks, this should involve a review to ascertain the following:

1. The theory of change must clearly be targeted towards changes and solutions that benefit the most vulnerable and marginalized individuals and groups in society.
2. The theory of change should directly address issues of inequality and discrimination, building on the CCA to construct a model of change that tackles underlying and possibly root causes, not just the immediate ones.
3. The theory of change should be explicit in identifying solutions that target the needs of women and girls, and ensure that they are equally benefitting from the envisaged change.

4. The theory of change should envisage sustainable and inclusive changes by looking to strengthen the effectiveness of institutions and mechanisms that are targeted to monitor, track and empower those who are left behind, or at the risk of being left behind.

STEP 3: MAKE ASSUMPTIONS AND RISKS EXPLICIT

Establish and make explicit the related key **assumptions** underpinning the theory of how change happens and major **risks** that may affect it. This includes identifying why solutions are the key drivers of change in a given context, and the factors that may influence these drivers.

Assumptions are things taken for granted, accepted as certain to happen. It is particularly important that the assumptions underpinning the proposed causal relationship between different results and other factors be made explicit (if X, then Y, because Z) and are assessed against available evidence. Assumptions to be considered include, for example, those about:

- **Causality:** What leads to what, and how? Through what mechanism(s)? This includes how the proposed solutions contribute to the intended high-level development change.

- **Implementation:** Assumptions about how UNCT interventions should be designed and targeted in order to deliver the intended results for the intended target groups.
- **External factors:** Assumptions about the influence of issues outside the area of work that can facilitate or hinder the expected change.

For each assumption the UNCT identifies in the theory of change, it should consider:

- **Does this fully explain what is thought will happen?** If not, it may be necessary to refine the assumption or the identified solution, or add new assumptions to explain the expected change process fully.
- **Is the assumption plausible?** Do the available evidence and the views and experience of UN and other stakeholders indicate that this assumption is likely to hold true in practice?
- **Does the assumption need to be tested?** Is further evidence needed as to whether change happens in the way assumed in this context, e.g., with an evaluation or by monitoring this closely during implementation?

Embedding **risk analysis** in a theory of change is also a crucial and challenging element of design, but exploring assumptions first can help in the identification of the risks. Often assumptions and risks are inversely related. For example, if it is assumed that employment services must be targeted towards vulnerable households in order to contribute towards reducing poverty, we might define a risk around the possibility that employment services are not properly targeted to reach vulnerable households. A theory of change approach encourages consideration of various types of potential risks, including:

- **Environmental and political:** Political risks from larger developments in the country such as elections and stakeholder sensitivities around particular issues and programmatic areas; high levels of turnover in policy and mid-level positions in government; disaster risk, changes in national policies or sharp fluctuations in commodity prices.
- **Opportunities:** Is the UNCT positioned to take advantage of future opportunities that may positively impact the achievement of results?
- **Design:** Difficulties might exist in targeting new and/or prioritizing specific groups and locations, such as the lack of data or access; there may be questions around the ability to retain flexibility to

rethink approaches and strategies when presented with new data from monitoring or external sources.

- **Partnerships:** Possible conflicts or tensions among the perspectives, interests and demands of partners; ability to incorporate new partnerships when opportunities arise.

During the preparation of a theory of change, it is not always possible to anticipate and prepare for the full range of risks. But it is essential to isolate the most important ones so that when certain risks materialize, the UNCT can revise assumptions and adapt the theory of change and the related strategy. Identifying relevant risks at the start of the UNDAF also helps design suitable strategies that can help manage those risks, so that the UNCT is better able to take advantage of new opportunities and mitigate threats.

STEP 4: IDENTIFY PARTNERS AND KEY ACTORS

Identify partners and actors by revisiting each result, including the related risks and assumptions. Focus in particular on key actors likely to have a direct role in determining the success or failure of the change effort, and partners with whom the UNCT will work most directly to bring about change. For instance, contributions from other partners as identified in the funding to financing analysis should be reflected in the overall solution tree, even if these are not something the UNCT will work on directly. This helps to identify the key linkages and enablers for achieving the SDGs.

The UNCT should identify specific members able to work on different results based on their mandates, capacity and available resources. The theory of change should help clarify which UN entity does what, in which areas two or more entities are expected to work together, where collaboration is necessary to achieve the expected change, and how to avoid overlapping to maximize the use of available resources.

Following this, it should be evident if there are elements of the proposed theory of change that are vital to the success of all or part of the UNDAF, but which the UN is not able to address directly through its programming work. These elements of the theory of change may not appear directly in the UNDAF results framework, but they need to be recognized as factors that can affect the achievement of the UNDAF results. The UNCT may also identify opportunities to address them through other engagement strategies in the UNDAF, such as through awareness-raising and advocacy, in order to leverage the resources and capacities of non-UN partners (including civil society and the private sector).

4. LESSONS LEARNED AND TIPS

VALIDATE AND QUALITY ASSURE THE THEORY OF CHANGE

Validating the theory of change against available evidence and the perspectives of other stakeholders ensures that the key assumptions are plausible, including assumptions about the roles that will be played by partners and other key actors. It also assures the quality of the theory of change so that it meets the required standards and is consistent with the overall purpose and principles of the UNDAF.

The UNCT should work on validating and quality assuring the theory of change throughout the four steps described in detail in the previous section:

1. Validating the **focus** of the theory of change requires due consideration of available evidence on national development priorities, identification of the needs of the poorest and marginalized, and the UNCT comparative advantage. It also requires consultations with key stakeholders, including government, civil society, direct beneficiaries, academia and international development actors, to ensure all perspectives are taken into consideration.
2. The **solutions** identified in the theory of change should be validated with available evidence against the UNCT comparative advantages, to determine what worked or did not work in the past, including how results can be more efficiently and effectively achieved, as well as potential risks and expected sustainability of the proposed solutions.
3. It is vitally important that the **assumptions** are tested against available evidence and are discussed with relevant stakeholders to ensure they are plausible and accurately capture the expected change process.
4. Both the division of labour among UN entities and **partnership** strategies need to be validated based on prior learning, through the engagement of key stakeholders, and ensuring consistency with the funding to financing analysis.

The decision on which external actors to engage in the validation step should be undertaken by the UNCT based on the local context, ensuring as much as possible that the voices and views of women, youth, duty-bearers, claim-holders and vulnerable communities are sought and heard. Similarly, the format and process for validating the different steps of the theory of change should be agreed by the UNCT based on what fits best with the local situation and circumstances.

QUALITY ASSURANCE CHECKLIST TO ENSURE A THEORY OF CHANGE:	
✓	Is based on a collaborative and participatory process , involving multiple stakeholder perspectives and allowing the views of women, youth, duty-bearers, claim-holders and vulnerable communities to be reflected during theory of change development and validation
✓	Is clearly targeted towards changes that will benefit the most vulnerable and marginalized individuals and groups in society
✓	Addresses issues of inequality and discrimination by tackling root and underlying causes in addition to immediate causes
✓	Explicitly targets women and girls and ensures that they are equal beneficiaries of change
✓	Identifies specific development changes to be realized for women and other targeted groups, rather than relying on assumptions about how particular groups benefit
✓	Envisages sustainable and inclusive changes by looking to strengthen the effectiveness of institutions and mechanisms that are tasked to monitor, track and empower those who are left behind or at the risk of being left behind
✓	Contributes to resilience and reductions in potential shocks and stresses, including those caused by the effects of climate change, epidemics, natural hazards ¹ and conflict
✓	Addresses poverty-environment linkages and contributes to enhancing sustainability
✓	Addresses or mitigates structural causes of violence that lead to or result from violation or non-fulfilment of rights
✓	Refers to evidence , knowledge and lessons learned from credible sources such as evaluations, analysis, monitoring and UN strategies/guidance, as well as to national capacity assessments and strategies
✓	Clearly states assumptions and risks most relevant to whether change will be realized
✓	Identifies who does what within the UNCT, as well as the key partners and actors whose common effort will be required in order for change to take place
✓	Shows a plausible, clear, logical flow to describe how the planned intervention intends to contribute to the desired development change, without any leaps of faith or gaps in logic
✓	Is ideally presented with a diagram and embedded in the narrative of programme documents
✓	Identifies limitations in the available evidence basis for the theory of change that can be used to inform evaluation priorities and design
✓	Is based on a collaborative and participatory process , involving multiple stakeholder perspectives and allowing the views of women, youth, duty-bearers, claim-holders and vulnerable communities to be reflected during theory of change development and validation
✓	Is clearly targeted towards changes that will benefit the most vulnerable and marginalized individuals and groups in society

¹ The Sendai Framework for Disaster Risk Reduction 2015-2030 applies to the risk of small-scale and large-scale, frequent and infrequent, sudden and slow-onset disasters, caused by natural or man-made hazards as well as related environmental, technological and biological hazards and risks.

APPLYING A THEORY OF CHANGE TO THE UNDAF PROCESS

A theory of change is not an add-on to the UNDAF; it helps guide the development of programme strategies through the UNCT thinking together about the causes of development challenges and selecting the right strategy based on evidence, learning and deliberate consideration of assumptions and risks. The CCA should provide much of the causal, partnership, resource and contextual risk analysis that will be used to develop a theory of change. The theory of change should be reflected in the UNDAF narrative and results matrix, including in the selection of outcomes, indicators to measure progress, risks and assumptions, and partnerships necessary to achieve results. The table below summarizes how the various elements of the theory of change can be used to develop the UNDAF narrative.

USING A THEORY OF CHANGE FOR DIFFERENT SECTIONS OF THE UNDAF	
1.	Signature page
2.	Executive summary
3.	<p>A narrative summary of the UNDAF strategic priority areas</p> <ul style="list-style-type: none"> Explain the key causal factors contributing to the core development challenges, with a focus on those that will be addressed in the UNDAF, and explain how the causal analysis translates into the identified outcome areas and development solutions. Specify how women and marginalized groups are affected differently by the development challenge, and if there are causes that are unique to these groups, requiring specific solutions. Support this with references to evidence and its sources, including from evaluation.
4.	<p>Risks and assumptions</p> <ul style="list-style-type: none"> Explain why the programme priorities were chosen to best address the core development challenge, referring to key assumptions about how change will happen. Explain the UNCT comparative advantage based on previous learning, what others are doing and what the team can do together with others. Make sure risks derived from theories of change are properly taken into consideration and include relevant management and mitigation measures: what if societal and development dynamics do not work as assumed or circumstances change? Support this with past evaluation findings and recommendations.
5.	<p>Initiatives outside the results matrix</p> <ul style="list-style-type: none"> Use the problem and solution analysis to explain how those initiatives are crucial to achieve the results captured in the results matrix, and how the UN will engage with partners to ensure collaboration and complementarities towards the achievement of the SDGs.
6.	Overall financing strategy and estimated resource requirements
7.	<p>Implementation arrangements</p> <ul style="list-style-type: none"> Use the analysis of who does what from Step 4 to ensure implementation arrangements clearly specify roles and responsibilities within the UNCT, highlighting coordination arrangements where necessary.
8.	<p>Monitoring and evaluation provisions</p> <ul style="list-style-type: none"> Are there specific assumptions related to causality or relationships with other contextual factors that require more evidence and testing? Ensure that key elements of the theory of change will be monitored and updated regularly as appropriate. Evaluation should look at the validity of the theory of change and provide recommendations for its improvement and for future interventions.
9.	<p>Communication of results</p> <ul style="list-style-type: none"> Use the causal analysis agreed among partners and stakeholders to strengthen messages on the desired change, its relevance in the national context and the role of the UN.
10.	<p>UNDAF results matrix</p> <ul style="list-style-type: none"> The selected outcomes should relate clearly to the high-level development changes and UNCT contributions discussed in the narrative. The indicators should measure the development changes articulated in the theory of change, including for women and targeted marginalized groups.
11.	Legal clauses (Link to Legal Annex)

Outcome-level theories of change that lead to the identification of outputs developed in UNDAF Results Groups should be linked to the overall UNDAF theory of change, in addition to any agency-specific theories of change that may be developed. These should be preserved as annexes to Results Group work plans, to be validated as part of regular monitoring and adjusted as needed. During implementation, information from monitoring can be related back to the theory of change to inform management decisions to ensure interventions and activities are adjusted to remain relevant and increase the likelihood of achieving change. Evaluation can be crucial during implementation or closure for validating theories of change and learning what works and what does not work well in different contexts. In fact, one purpose of a theory of change is to have a basis on which to support future evaluations. A theory of change contributes to ensuring that the UNDAF is evaluable.

5. TOOLS AND RESOURCES

Craig Valters, 2014, [*Theories of Change in International Development: Communication, Learning, or Accountability?*](#)

[NPC's Practical Guide](#), 2014, NPC (Harries/Hodgson/Noble).

Danielle Stein and Craig Valters, 2012, [*Understanding Theory of Change in International Development*](#), JSPP and the Asia Foundation.

Isabel Vogel for the UK Department of International Development, 2012, [*Review of the use of 'Theory of Change' in international development*](#).

Patricia Rogers, 2014, [Theory of Change](#), Methodological Briefs—Impact Evaluation No. 2, UNICEF Office of Research, Florence.

Grantcraft, 2006, [*Mapping Change Using a Theory of Change to Guide Planning and Evaluation*](#).

May Miller-Dawkins, 2014, [*9 Ways to Change the World?*](#) CoreLab.

The Evaluation Exchange, 2005, ["An Introduction to Theory of Change."](#)

Uri Alon at TEDx Lausanne, ["We have to change the culture of science to do better research."](#)

[Center for Theory of Change](#)



**UNITED
NATIONS
DEVELOPMENT
GROUP**

The United Nations Development Group (UNDG) unites the 31 UN funds, programmes, specialized agencies, departments, and offices that play a role in development. Since 2008, the UNDG has been one of the three pillars of the UN System Chief Executives Board for Coordination, the highest-level coordination forum of the United Nations system.

At the regional level, six Regional UNDG Teams play a critical role in driving UNDG priorities by supporting UN Country Teams with strategic priority setting, analysis and advice.

At the country level, 131 UN Country Teams serving 165 countries and territories work together to increase the synergies and joint impact of the UN system.

The Development Operations Coordination Office (DOCO) is the secretariat of the UNDG, bringing together the UN development system to promote change and innovation to deliver together on sustainable development.