

**TERMS OF REFERENCE**  
**FOR EVALUATION OF EXTRA-BUDGETARY PROJECTS IN UNECE**  
**Strengthening industrial safety in Central Asia through the implementation of**  
**and accession to the UNECE Convention on the Transboundary Effects of Industrial Accidents**

**I. Purpose**

The purpose of this evaluation is to assess the extent to which 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”) 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.

**II. Scope**

The evaluation will 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 evaluation should also be gender-responsive and will look into engagement of women into the project activities, while remaining sensitive to cultural specificities and traditions of the subregion. It will also assess how gender considerations were included the project’s design, execution and results. It will make recommendations on how gender can be included in the design of future projects in UNECE.

All available information made available in documentation and interviews, review of the activities of national experts representing the competent authorities designated under the UNECE Convention on the Transboundary Effects of Industrial Accidents (hereinafter – Industrial Accidents Convention) and partner organizations, and any other information which pertains to UNECE efforts in the successful execution of the project will be included in the evaluation.

The Project was conceived with the objective to strengthen the implementation of and accession to the UNECE Industrial Accidents Convention in Central Asia. During the Seventh "Environment for Europe" Ministerial Conference, held in Astana on 21-23 September 2011, the ministers from the UNECE region made their commitment to improve environmental protection and to promote sustainable development in the region. They also invited countries to ratify and implement the relevant multilateral environmental agreements (MEAs) and underlined the role of UNECE in assessing the obstacles and assisting countries to ratify and implement agreements. In response, the secretariat of the UNECE Convention on the Transboundary Effects of Industrial Accidents had organized a number of events aiming at enhancing the capacity of the countries in Central Asia.<sup>1</sup> These activities had shown that the Convention’s implementation in Kazakhstan, the only Party to the Convention in Central Asia, was weak, and that it was important to further support the strengthening industrial safety in the other four non-Parties in Central Asia. The Project thus aimed at further supporting all 5 Central Asian countries in enhancing their industrial safety.

The Project was conceived in particular in order to support implementation of the Assistance Programme for countries with economies in transition under the UNECE Convention on the Transboundary Effects of Industrial Accidents, adopted at the third meeting of the Conference of the Parties in 2004 (ECE/CP.TEIA/12). In 2005, during a high-level commitment meeting, beneficiary countries, including from Central Asia, committed themselves to the implementation of the Assistance Programme, and to progress in the Convention’s implementation (see meeting report CP.TEIA/2005/12). Ever since then, capacity-development activities under the Assistance Programme have been included in the Convention’s biannual workplans, including activities under the Strategic Approach for the Assistance

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<sup>1</sup> 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 accident prevention in Kazakhstan in May 2015.

Programme (ECE/CP.TEIA/2008/5)<sup>2</sup>, which supports countries in preparing national self-assessments and action plans – a key component of the Project. As the submission of these documents from Central Asia had been weak, the Project aimed in particular at enhancing the preparation and update of these documents, in order to support countries in assessing their levels of industrial safety, and on this basis, to determine the steps required to progress with the Convention’s implementation.

### **III. Background**

The project is implemented by the Industrial Accidents Convention and is funded by the Russian Federation. The project began formally in March 2016 and was launched at the Ninth meeting of the Conference of the Parties in 2016. It entered its active phase in 2017 with national expert group meetings taking place throughout 2017– early 2018 and a final subregional workshop in late 2018. The project will conclude in 2019 having undergone the external evaluation. The general objective of the Project is to strengthen the implementation of and accession to the Industrial Accidents Convention in Central Asia. In particular, the Project aims at: increasing understanding of the key requirements of the Convention in the beneficiary countries; enhancing capacities of the beneficiary countries for assessment of industrial safety and the development of national self-assessments and action plans towards the implementation of and accession to the Convention. Project beneficiaries are all five Central Asian countries: Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan.

Project activities were mainly implemented with the help of UNDP in respective countries, and in Kazakhstan, through the Water Initiative Centre. OSCE also contributed to the Project’s implementation.

### **IV. Issues**

The following issues/questions will provide the 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

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<sup>2</sup> More information on the Strategic Approach is available from the Convention webpage: <http://www.unece.org/env/teia/ap/tools.html>

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?

## **V. Methodology**

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 via skype/telephone and personally, possibly on the margins of the subregional workshop in Almaty 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). The survey will be developed and conducted by the consultant, with the support of the Secretariat.

The evaluation methodology will be determined by the evaluator in consultation with UNECE.

4. The evaluation report of maximum 20 pages will summarize the findings, conclusions and recommendations of the evaluation. An executive summary (max. 2 pages) will summarize the methodology of the evaluation, key findings, conclusions and recommendations.

The evaluation will be conducted in accordance with the UNECE Evaluation Policy. The consultant shall be provided with the evaluation report templates and guidance for the requirements for evaluation reports in UNECE.

The evaluation will comply with the UNEG Norms and Standards, including due consideration of the gender aspects of the project's design and implementation.

UNECE will provide all documentation as needed throughout the timeline of the evaluation. UNECE will provide support and further explanation to the evaluator as needed.

## **VI. Evaluation Schedule**

The evaluation schedule will be as follows:

1. Desk review of all documents provided by UNECE to the Consultant: 15 September 2018
2. Design of survey to participants and interview questions, attendance of the project final workshop, conducting interviews in person and over Skype/phone: 15 September - 15 October 2018
3. Delivery of inception report: 31 October 2018
4. Feedback on inception report by project manager: 15 November 2018
5. Delivery of Final Report: 15 December 2018

## **VII. Resources**

Resources available for the evaluation is \$7,900 USD all inclusive.

The Project Manager (Ms. Yelyzaveta Rubach, Environmental Affairs Officer) will manage and provide guidance during the course of the evaluation. The Programme Management Unit (PMU) will provide guidance to the Project Manager and evaluator as needed on the evaluation design, methodology and quality assurance of the final draft report.

## **VIII. Intended Use/Next Steps**

The evaluation will be consistent with the UNECE Evaluation Policy. Following the receipt of the final report, UNECE will develop a management response, and action plan for addressing recommendations made by the consultant. The results of the evaluation shall be considered, together with other project evaluations conducted, by senior management in UNECE to address systemic inefficiencies or challenges to effective project implementation in UNECE.

## **IX. Criteria for Evaluators**

Evaluators should have:

- An advanced university degree or equivalent background in relevant disciplines
- Specialized training in areas such as evaluation, project management, social statistics, advanced statistical research and analysis.
- Demonstrated relevant professional experience in design, management and conduct of evaluation processes with multiple stakeholders, survey design and implementation, and project planning, monitoring and management.
- Demonstrated methodological knowledge of evaluations, including quantitative and qualitative data collection and analysis for end-of-cycle project evaluations.
- Fluent in written and spoken English and Russian is required.
- Preferably, the evaluator should be familiar with the topic of industrial accident prevention and preparedness and capacity-building/assistance activities in Central Asia

Evaluators should declare any conflict of interest to UNECE before embarking on an evaluation project, and at any point where such conflict occurs.

*Annex: Project document*