SYNERGIES among the Basel, Rotterdam and Stockholm conventions

Monitoring and Evaluation Strategy for the Technical Assistance Plan of the Basel, Rotterdam and Stockholm Conventions

Inception Paper

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1. Introduction

The Technical Assistance Plan (TAP) for the implementation of the Basel, Rotterdam and Stockholm (BRS) Conventions outlines the principles and processes for identifying technical needs and strengthening the capacities of Parties (particularly developing country Parties and Parties within economies in transition) to implement the BRS Conventions. Specific activities and outputs to be delivered by the BRS Secretariat are also detailed, including an indication of resource requirements. The 2018-2021 TAP – as adopted during the 2017 Conferences of the Parties (COPs) – includes a new component focused on monitoring and evaluation (M&E), whereby the effectiveness and impact of the TAP is to be analysed at regular intervals.

Based on initial consultations with BRS Secretariat staff, an early literature review, and an assessment of the current TA-related M&E systems, this inception paper outlines an initial proposal for developing and delivering the M&E component of the TAP. The paper commences with a diagnostic of the current approach to monitoring and measurement of BRS technical assistance, then proposes a methodology for developing a full M&E strategy for the TAP. This includes objectives, guiding principles and limitations of the M&E strategy, and the likely components / outputs of the work.

Note on terminology

<u>**Technical Assistance**</u>

For a country (Party) to implement the BRS Conventions, certain institutional, legal and technological capacities, systems and processes need to be in place at the national level. Often, this national infrastructure will need to be strengthened, or even established from scratch. Within the context of the BRS Conventions, **technical assistance** is the support provided to Parties (particularly developing country Parties and Parties with economies in transition) that are building their national infrastructure for implementing the BRS Conventions. The nature of technical assistance will depend on the specific needs of each Party, but can include **face-to-face workshops**, **webinars**, **dissemination of best practices**, **development and testing of technical guidelines**, and the **facilitation of regional cooperation**. Technical assistance can be provided through various channels, including bilaterally (e.g. from a developed country Party to a developing country Party), by a multilateral Implementing Agency (e.g. UNIDO, UN Environment, WHO), and by the BRS Secretariat and/or the Basel and Stockholm Regional Centres. Within this document, technical assistance refers to support provided to Parties by the **BRS Secretariat and/or the Basel and Stockholm Regional Centres**, unless otherwise stated. Similarly, the M&E strategy proposed in this document is intended to support the monitoring and evaluation of **the BRS Secretariat's (and Regional Centres') technical assistance**, unless otherwise stated.

<u>**'Impact Assessment' vs 'Evaluation'**</u>

The 2018-2021 TAP indicates that the M&E component will enable "*improved **impact assessment***" of the plan. It is understood that the term '**impact assessment**' was used within the TAP as a synonym for '**evaluation**', and the following inception paper is based on that understanding. However, within the M&E sector the term 'impact assessment' has a very specific meaning: impact assessment and impact evaluation apply rigorous methodologies that use a counterfactual (control group) to identify precise changes that can be attributed directly to an intervention. This approach typically requires extensive pre-intervention baseline data and will often apply experimental methods such as randomised control trials and quantitative modelling. Such an approach is resource-intensive and – in any case – is not appropriate for measuring the kind of capacity developments that the TAP aims to support. To avoid potential confusion, this inception paper will therefore use the broader, less prescriptive term of '**evaluation**' to describe the proposed work, rather than '**impact assessment**'.

2. Diagnostic of current approach to TAP monitoring

2.1 Overview of current M&E systems

2.1.1 Technical Assistance Plan M&E

The TAP is not currently supported by a dedicated M&E framework, but the plan does establish a basic results chain, with a single **goal** articulated for the TAP overall, supported by four **objectives**: one for each Convention, and a fourth cross-cutting objective. Under each objective, two **outcomes** are established, in turn supported by multiple **outputs**, with each output to be monitored through a single **indicator**. In total, the results chain comprises one goal, four objectives, eight outcomes, 44 outputs, and 44 indicators.

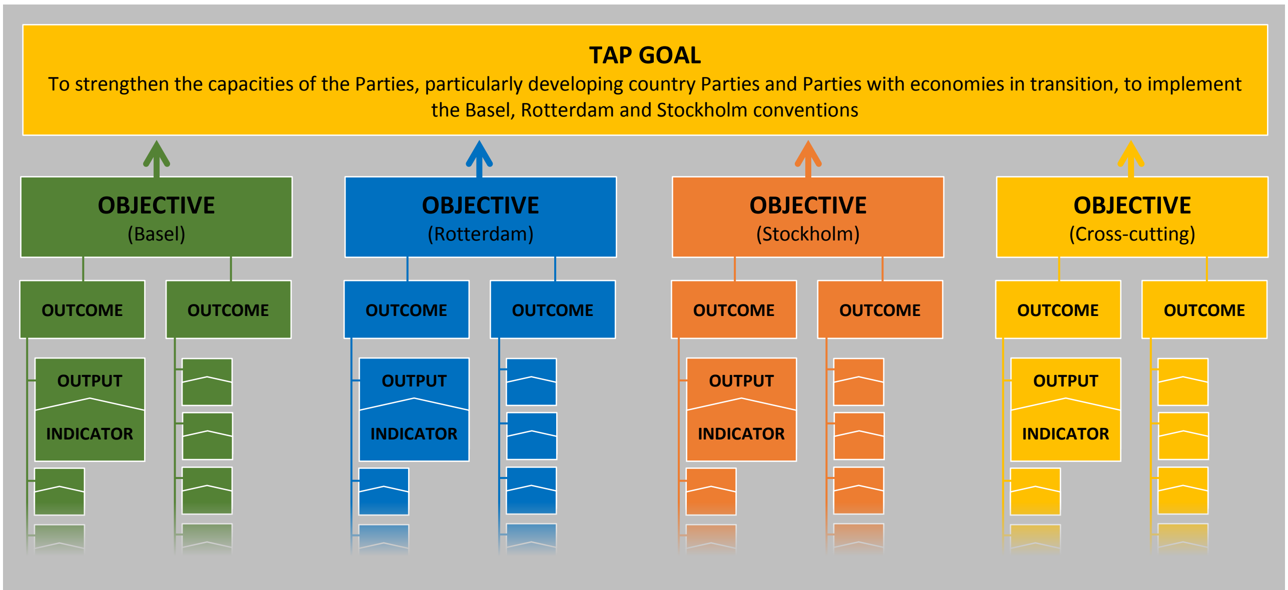

Fig. 1: Current TAP results chain

The TAP also indicates that the regular "*analysis of [TAP] effectiveness*" (i.e. the work proposed through this inception paper) will partly be realised through "*reflecting on the [above] tangible outcomes, activities [outputs] and indicators*". However, no further detail or guidance is provided on – for example – data sources, monitoring processes or reporting formats. Instead, it is expected that the work proposed through this inception paper will 'fill the gaps' here, through development of a complete M&E framework to support measurement of TAP performance, including progress against the above results chain.

2.1.2 Programme of Work M&E

While M&E of the technical assistance *plan* is not yet in place, M&E of technical assistance *activity* is – to an extent – already undertaken through the biennial Programme of Work (PoW). The PoW establishes the BRS Secretariat's workplan and resource requirements for a two-year period, broken down into several discrete 'activities'. For each activity, the PoW defines (amongst other elements) an **objective**, **outcome/s**, **indicators** and **means of verification** for those indicators. The BRS Secretariat then monitors these elements, and ultimately reports progress to the COPs at the end of each PoW biennium. Five PoW activities (13, 14, 15, 16 and 18) are focused purely on technical assistance, and several other activities have at least some relevance to technical assistance. Across the five activities that are focused purely on technical assistance, the PoW defines around 14 outcomes and 44 indicators.

2.1.3 Convention-level M&E

Some frameworks and processes are in place for evaluating technical assistance at the Convention-level. Most notably, the Stockholm Convention's **Effectiveness Evaluation Framework** provides the basis for a periodic, comprehensive evaluation of the Convention and all of its Articles, by definition including those focussed on technical assistance (Articles 12-14). The Evaluation Framework identifies four **outcomes** and 14 **indicators** against which TA effectiveness should be measured. The Convention was evaluated under this Framework in 2016, including an assessment of progress against the 14 technical assistance indicators, and presentation of several TA-specific recommendations.

Although not yet undertaken, similar evaluations of the Basel Convention are planned, with the Convention's **Strategic Framework** providing a foundation for these upcoming exercises. The Strategic Framework describes three Convention **goals**, supported by 11 **objectives**, with each objective to be measured through a single **indicator**. The majority of these objectives (and accompanying indicators) either directly or indirectly relate to technical assistance.

No evaluations are planned for the Rotterdam Convention, and no analogous results frameworks are in place at this stage. However, work is underway that will eventually provide the basis for future M&E, namely through the current **Enhancing Effectiveness** initiative.

2.1.4 Needs assessment

The 2018-2021 TAP notes that an integral part of the TAP monitoring process is the BRS Secretariat's ongoing assessment of the TA needs of Parties to the Conventions. This needs assessment process aims to identify both **general TA needs** (e.g. capacity gaps that are evident across multiple Parties), and **specific TA needs** of individual countries / Parties. The data gathered through the needs assessment process can be used for both **workplanning** purposes, and as a **baseline** that can eventually be used to compare TAP progress and performance against.

Needs assessment is undertaken through formal and informal mechanisms, with the most important being:

- **TA Needs Assessment questionnaire:** The BRS Secretariat periodically distributes an online survey to Parties, focussed on identifying whether and what TA needs a Party has, and/or whether and what TA a Party can offer to other countries.
- **Financial Needs Assessment questionnaire:** Although the focus is broader than just TA and only relates to the Stockholm Convention, the Stockholm Convention Secretariat periodically distributes a survey that aims to identify each Party's financial needs for implementing the Stockholm Convention (with these needs *including* any finance required for capacity development and technical assistance). This is a COP mandated activity that feeds into the Global Environment Facility (GEF) replenishment process (see, among others, decisions SC-5/22, SC-7/18 and SC-8/16).
- **Desk review of Convention-related reports:** The BRS Secretariat can review – for example – a Party's National Action Plan (NAP) to see if any capacity or TA gaps have already been identified by the Party.
- **Day-to-day informal discussions:** Everyday interactions between Parties and the BRS Secretariat can be used to identify both specific and general TA needs.
- **'External' Needs Assessments:** Other Implementing Agencies undertake their own needs assessments, typically more detailed than the BRS Secretariat's survey, and focussed on the specific mandate of the Implementing Agency. Other needs assessment are periodically undertaken by – for example – UN Environment and the Strategic Approach to International Chemicals Management (SAICM) Secretariat.

2.2 Assessment of current approach to M&E of technical assistance

As above, some foundations and processes are in place for measuring the effectiveness of technical assistance. However, there are concerns that these processes are not providing a sufficiently detailed assessment of the BRS Secretariat's technical assistance activity including – crucially – the real-world outcomes, changes and capacity developments that the TA work is (or is not) delivering for Parties.

As a prerequisite to identifying potential approaches for the more targeted and useful M&E of technical assistance, it is important to characterise the strengths and weaknesses of the current approaches and systems. The following assessment is not comprehensive, focusing instead on summarising the most significant shortcomings and opportunities with the current infrastructure.

2.2.1 Application of indicators

Current indicators are almost exclusively focused on measuring inputs, activities and outputs (e.g. **number** of training participants), rather than the substantive outcomes and real-world changes delivered (e.g. **capacity and confidence** of training participants). While output-level monitoring is important, an understanding of overall **quality, performance and effectiveness** is not possible without outcome-level monitoring. Moreover, the measurement of **capacity development** (the TAP's stated goal) necessitates monitoring that goes beyond recording 'immediate' results such as workshop delivery or publication of guidance material. The skew towards output (as opposed to outcome) measurement is most apparent within the TAP itself: indicators are allocated to every single output, yet no indicators have been set for the TAP's outcomes, objectives or overarching goal.

As detailed above, the TAP articulates 44 indicators, with the biennial PoW also measuring technical assistance through another 44 indicators, and – at the Convention-level – 14 TA-focused indicators through the Stockholm Convention Effectiveness Evaluation Framework, and up to 11 indicators through the Basel Convention Strategic Framework. In total then, technical assistance is measured by up to 113 indicators at present. While there is some duplication/repetition – particularly between the TAP and PoW indicator sets – the overall quantity of indicators is still very large, especially considering the relatively limited resources allocated to technical assistance. Moreover, each indicator necessitates the collection, storage, analysis and reporting of a discrete data set: so every indicator has its own resource implications, which may in turn reduce the already limited resources available for *actual implementation* of technical assistance.

This large quantity of indicators – and the limited resources that have been historically allocated to TAP monitoring – means that monitoring of technical assistance has invariably focused mainly (if not wholly) on measuring against those indicators. This is understandable: indicators afford a tangible, objective and well understood tool for measuring performance and progress towards agreed targets. Indicators are appropriate for – and central to – the monitoring and evaluation of multilateral interventions and should continue to be a core tool for the monitoring of the TAP. However, they are rarely *sufficient* for measuring and understanding the performance of 'softer' interventions such as capacity and institutional development. The BRS Secretariat's capacity development work is delivered in complex situations, where multiple other influences will contribute to the performance and outcomes of the Secretariat's technical assistance. To improve understanding as to where and how the Secretariat and the TAP is most effective, it will be necessary to complement indicator monitoring with other performance measurement tools.

2.2.2 Convention-level monitoring vs 'synergy' monitoring

The current emphasis on monitoring activity and output-level indicators – and the closely related lack of 'higher-level' outcome monitoring – means that monitoring is primarily undertaken at the Convention level. Convention-level monitoring is of course essential, as TA requirements and activities vary across the Conventions, so it is vital that each set of TA is measured discretely. However, it is *also* important to develop an understanding of the performance of TA **overall**, including how and whether capacity development synergies and efficiencies are (or could be) created across all three Conventions.

As above, the TAP does have a cross-cutting objective, so a foundation is already in place for monitoring synergies. However – and as with the broader TAP framework – the emphasis within this cross-cutting objective is on activity and output-level monitoring. Consequently, there are opportunities for deepening the extent and measurement of cross-Convention technical assistance and synergies.

2.2.3 Monitoring guidance and tools

The BRS Secretariat uses the biennial PoW report to the COPs as the primary framework for regular monitoring and reporting on technical assistance activities. This report enables transparent comparison between the TA activities of each Convention, and between all TA activities and the broader (non-TA) work of the BRS Secretariat.

While the biennial report provides a consistent and appropriate *format*, the underlying monitoring *tools and processes* applied by the BRS Secretariat are not consistent or well developed. No high-level guidance is in place that – for example – codifies the approach to monitoring individual indicators, or provides explicit definitions for terminology used within indicators. Individual monitoring tools are also underdeveloped and inconsistently applied; for example, a post-training event participant survey exists, but is not routinely used after all training events. Moreover, even when the survey is applied, the data gathered is not collated in a central repository. Overall then, monitoring of technical assistance activities is somewhat inconsistent and ad-hoc, which in turn may be negatively affecting the quality and consistency of progress reporting.

2.2.4 Multiple needs assessments

As above, multiple needs assessment exercises are undertaken by both the BRS Secretariat and by ‘external’ actors such as other Implementing Agencies. From an M&E perspective, these processes are invaluable for establishing a monitoring baseline against which TAP progress and performance can be measured. However, concerns have been raised by some Parties regarding the number of different surveys that are distributed, and the overlap between some surveys. Answering each survey has clear (and sometimes significant) resource implications for respondents, so it is understandable if some Parties are concerned about the quantity of needs assessment processes, and the potential duplication between these processes.

2.3 Summary

Several **existing frameworks** are in place to support the measurement and reporting of technical assistance activity across all three Conventions. Understandably, **indicators** are the primary tool through which performance is currently tracked. However, the current indicators are almost exclusively **focussed on measuring outputs rather than outcomes**: plenty of data is being collected on (e.g.) the **type and extent** of capacity development activity, but not on the **effectiveness, quality and real-word changes / outcomes** that capacity development activity is (or is not) delivering. Current indicators also tend to focus on **Convention-level activity**, rather than identification and measurement of potential **cross-Convention synergies and efficiencies**. In any case, the **quantity** of TA-related indicators – up to 113 – is entirely disproportionate to the amount of resources allocated towards technical assistance. More broadly, the quality and consistency of TA-related monitoring and evaluation may have been negatively affected by an **absence of consistent monitoring guidance and tools**. Finally, while the TA **needs assessment process** can help to establish a TAP **baseline**, concerns have been expressed regarding the quantity of separate needs assessment processes, and of the inefficient duplication between these processes.

3. Proposed approach for developing an M&E Strategy

Building on the above diagnostic of the current M&E approach, the following section proposes a process for developing a more structured strategy and framework for the M&E of technical assistance. This is the **first step** towards developing an M&E strategy capable of addressing the above noted shortcomings, and of providing a deeper, more accurate picture of TAP performance.

3.1 Objectives and Scope

The M&E strategy should be capable of fulfilling both the BRS Secretariat's **accountability** needs (identifying and assessing results) and its **learning** needs (improving actions and performance). To meet these requirements, the following **objectives** for the M&E strategy are proposed:

1. **Develop systems and processes capable of generating, analysing and reporting data on TAP progress, to support:**
   - **1.1. Regular reporting to Parties and the biennial COPs**
   - **1.2. The BRS Secretariat's own decision-making, work-planning (including needs assessment) and results-based management**
2. **Build the evidence base and the BRS Secretariat's level of preparedness for full, independent evaluation/s of the TAP (and/or the evidence base and preparedness for Convention-level evaluations)**

In terms of **scope**, the M&E strategy will be squarely focused on measuring technical assistance as outlined in the TAP, and as delivered directly by the BRS Secretariat, the Basel and Stockholm Regional Centres, and related work delivered in cooperation with FAO.

However, given that a significant proportion of BRS-related TA is delivered through other channels (e.g. bilateral cooperation, other Implementing Agencies), every effort will be made to develop a framework and set of monitoring tools that can be adopted and applied by 'external' TA providers to measure their contributions to BRS-related outcomes. This could help all TA providers to better understand their relative strengths and comparative advantages, may support improved cross-agency coordination of BRS-related TA, and could lay some groundwork for any potential future evaluation/s of *all* BRS-related technical assistance.

3.2 Design principles

Technical assistance is of course just one aspect of the BRS Conventions, and just one of many workstreams supported by the BRS Secretariat. The M&E strategy is therefore not being developed in a vacuum and needs to be firmly based within the broader BRS 'ecosystem'. To ensure that an appropriate, efficient and effective M&E strategy is developed, the following **guiding design principles** are proposed:

1. **Keep it simple:** M&E systems and processes should be easy to apply with minimal resource requirements (time, money), yet still be capable of generating relevant, useful, good quality data.
2. **Use existing systems and processes where possible:** The strategy aims to strengthen and formalise the M&E of the TAP, but BRS-related technical assistance has of course always been monitored and reported on, even if only partially. The strategy should therefore build on existing systems, tools and knowledge / familiarities.
3. **Aim for common M&E approaches across all Conventions:** Clear efficiency gains can be obtained if all three Conventions are able to use the same M&E systems, process and tools. Common approaches will also support clearer reporting to Parties and COPs.

4. **Consolidate and/or harmonise where possible: T**he M&E strategy development process will most probably identify areas of overlap or duplication within current systems (for example, duplication across the various needs assessment processes have already been identified as a concern). The M&E strategy development process provides an opportunity to resolve any such duplication.

5. **Shift the focus to measuring outcomes:** The above diagnostic identifies a skew towards output monitoring at present, rather than the more informative, valuable and – particularly for capacity development – appropriate approach of outcome monitoring.

6. **Formally link the TAP M&E strategy to higher-level M&E strategies:** The overall performance of each Convention is/will be periodically evaluated through existing mechanisms (SC Effectiveness Evaluation, BC Strategic Framework, the potential RC Enhancing Effectiveness initiative). The TAP M&E strategy should be clearly linked to these exercises, ensuring that those high-level evaluations benefit from appropriate, high-quality evaluative data on technical assistance. Looking even further ahead, the M&E strategy should also aim to support any potential cross-Convention, synergy evaluation/s.

7. **Consider potential use of the M&E strategy beyond the BRS Secretariat:** As above, a significant proportion of TA is delivered through other (non-BRS Secretariat) channels. If the M&E systems, process and tools could also be applied *outside* the BRS Secretariat, this could in turn support cross-agency coordination of BRS-related TA, and could lay some groundwork for any potential future evaluation of *all* BRS-related technical assistance.

3.3 Limitations

While this document focuses on what the M&E strategy will aim to achieve, it is important to also articulate what the M&E strategy will **not** be able to achieve. The following have been identified as the most significant **potential limitations** for the M&E strategy:

1. **Resources:** When compared to the resources that are applied to implementation of the BRS Conventions overall, the resources available for the TAP (and by extension TAP M&E) are very limited. The current resource envelope should be sufficient to support an appropriate, valuable level of M&E, but the strategy will need to be cost-efficient, well-targeted and – above all – proportionate.

2. **Measuring impact:** Technical assistance is just one of many components that support implementation of the BRS Conventions and – by extension – just one of many components that **contribute to the impact** of the BRS Conventions. Measurement of the Conventions' impacts is rightly undertaken through the Convention-level evaluation exercises (e.g. SC Effectiveness Evaluation), and technical assistance is routinely considered as part of those exercises. This approach is entirely appropriate, as it supports a comprehensive assessment as to how the various components (including TA) all 'add up' to overall impact. The TAP M&E strategy should be designed to support these higher-level assessments of overall impact, but It is neither realistic nor appropriate to expect the TAP M&E strategy to identify such impacts in isolation. At best, the strategy may allow for identification of country-level impacts of specific TA interventions, but the assessment of high-level impacts should remain with the Convention-level exercises.

3. **Measuring attribution:** The BRS Secretariat's technical assistance is invariably delivered within complex institutional environments. Multiple factors beyond the Secretariat's control will influence and even determine the overall, longer-term national and systemic outcomes achieved following – for example – delivery of a specific training exercise: it will normally not be possible to **attribute** specific changes *solely* to any given TA intervention. Instead, M&E processes should focus on identifying how TA interventions **contribute** towards longer term outcomes, noting the other (potentially far more important) influences on the process.

4. **Scope:** As noted above, a significant proportion of BRS-related technical assistance is delivered by other (non-BRS Secretariat) actors. While the TAP M&E strategy will measure TA delivered or

mediated by the BRS Secretariat (and the Basel and Stockholm Regional Centres), it will not be within the strategy's scope to measure the performance and results achieved by technical assistance more broadly.

3.4 Strategy development process

As with the inception phase, the full process will be led by the BRS Secretariat with the close support of an external consultant. Listed in approximate chronological order, the primary steps and activities in the development process will be as follows:

- **Development of a full logic model (e.g. theory of change) for the TAP.** Building on the current TAP results chain (fig. 1 above), a more detailed logic model will be developed. Logic models are a common management tool expressing the basic rationale behind an intervention. They describe the results an intervention is aiming to achieve, how the intervention works towards those results, and the main assumptions behind the intervention's approach. In turn, logic models also support the identification of key elements and **results areas** that should – in due course – be **monitored and evaluated**. As such, logic models are frequently used as the starting point for developing approaches to M&E. Logic models can also provide a neat, visual summary of a programme, and are often used as a communication tool.
- **Revision of current TAP indicators.** Based on the logic model and the key areas for measurement that it will help to identify, a revised set of indicators will be proposed. In line with the above design principles, the focus will be on outcome (rather than output) measurement, with existing indicators to be simplified and consolidated wherever possible. Integral to this process will be a detailed review of other indicators and frameworks that are used to measure the BRS Conventions: it is vital that the TAP's indicators (i) **do not duplicate** other frameworks or processes, yet where appropriate (ii) are **fully aligned** with those other frameworks, thereby allow TAP data and evidence to feed into (e.g.) higher-level exercises such as the SC Effectiveness Evaluation. This will extend to a review of relevant external frameworks, such as the SDGs (i.e. is there potential for TAP data to feed into monitoring of SDG 12.4?).
- **Research, identification and tailoring of TAP monitoring tools.** The revised set of indicators will almost certainly necessitate the adoption of revised or new monitoring tools and processes. However – and as noted above – indicators alone are rarely sufficient for measuring the 'softer' interventions that comprise the bulk of the TAP, particularly capacity and institutional development. Consequently, research will be undertaken to identify new, proportionate monitoring approaches that will strengthen measurement of the TAP's contribution to outcomes, including capacity development. The process will also include a **review of the current approach to TA needs assessment**, which will aim to identify opportunities for consolidation and streamlining of the existing tools and processes. Integral to the tool development process will be the identification and allocation of **roles and responsibilities** for monitoring and reporting: clearly, this will need to be undertaken in close consultation with the BRS Secretariat and its TA delivery partners, particularly the Regional Centres and FAO.
- **Integration of new tools within Secretariat systems.** In parallel with the development of new monitoring tools, work will be undertaken to ensure that those tools and the resulting data can – as far as possible – be efficiently integrated within the Secretariat's existing systems and infrastructure. This may include identifying opportunities to consolidate and streamline those existing systems. New systems will only be proposed as a last resort.
- **Production of full M&E strategy manual.** An M&E strategy manual will compile all processes, tools and associated guidance (full detail provided below).

Although the work will be **primarily desk-based**, the external consultant will undertake **remote interviews / discussions** with BRS Secretariat and Regional Centre staff as required. On occasion, the work will also benefit from **face-to-face workshop/s** with the BRS Secretariat in Geneva, particularly when finalising critical components of the strategy (e.g. indicators, monitoring tools, roles & responsibilities).

The full M&E strategy will be prepared by **31 December 2018**.

3.5 Expected outputs

In addition to describing the overall approach, the final M&E strategy manual will comprise a package of guidance and tools, with the likely components as follows:

- **Full logic model.** As above, this will comprise a visual summary of the TAP, outlining the key results areas and programme dimensions to be measured through the M&E strategy.
- **Full results framework for the TAP, including indicators with (where appropriate) baselines, milestones and targets.** While some TA-related frameworks and indicators are in place, the above diagnostic identified several shortcomings with the current approach. The strategy development process will refocus, simplify and harmonise the current TA-related results frameworks, adding, amending and/or removing indicators as appropriate.
- **Indicator-by-indicator definitions and guidance.** Currently there is no formal, written guidance on the application and measurement of TAP indicators. The strategy will develop full indicator-level definitions and monitoring guidance, in turn supporting a more consistent approach to the measurement of the TAP and its results.
- **Guidance on other monitoring tools.** The strategy will almost certainly establish monitoring tools and processes that go beyond the measurement of indicators (for example, systematic post-training surveys, informal country-level case studies). For each tool, the strategy will provide complete guidance for the BRS Secretariat (and other users) on the application of these tools. Again, this will support a more consistent approach to the measurement of the TAP and its results.
- **Reporting formats / templates.** The strategy will identify whether and how existing report templates should be amended to reflect the new M&E processes, potentially proposing new formats, as appropriate. Even where solid reporting templates are already in place (e.g. the biennial PoW reports), the strategy will provide guidance on how to best present TAP results within those reports, again with a view to supporting long-term consistency in monitoring and reporting.
- **Infographics / communications materials.** Intended as an 'entry point' for users of the M&E strategy and Parties, infographics will be used to succinctly communicate the rationale and overall approach of TAP M&E, and – for direct users of the strategy – will provide detailed schematics of the full M&E process and its constituent steps, including roles and responsibilities.
- **Terms of Reference for the first TAP evaluation.** Annex A below outlines potential options for future evaluation/s of the TAP. The full M&E strategy will include an annex with a complete TOR for the eventually selected evaluation option.

The full strategy will be presented firstly as a **comprehensive manual** containing all the material, guidance and tools generated during the process. However, this full package will also be used as the basis for a series of shorter **standalone, audience-specific manuals** containing material summarised and targeted at each group that has a given role / responsibility for TAP M&E. For example, there will likely be standalone manuals for Convention-level BRS Secretariat staff, for Regional Centres and – potentially – for 'external' providers of BRS-related TA (e.g. bilateral donors, other Implementing Agencies).

Annex A: Evaluation Options

The M&E strategy will focus largely on establishing the metrics (e.g. indicators, expected results), tools and internal processes necessary for monitoring the TAP. All this monitoring effort will provide a basis to **evaluate and report** on TAP progress to the COPs, to the TAP's donors, and to other relevant stakeholders. While the first TAP-related evaluation may be several years away, the selected evaluation approach will have its own resource implications, and is likely to have at least some influence on the monitoring strategy design. As such, it is important to establish what evaluation options are available, even at this early stage. The following provides a 'menu' of options, including resource implications and probable timeframes: not *all* of these options should be applied, but a combination of options – particularly a **mix of self-evaluation and independent evaluation** – is likely to be the most effective and efficient approach.

Option	Overview	Resources	Timescale
Annual internal self-evaluation	Undertaken internally by BRS Secretariat staff, this would comprise a regular, systematic stocktake of learning and progress against TAP results (activities, indicators, milestones, targets, expected results). In turn, this would help to inform potential adjustments to the TAP, and generate a consistent, regularly produced document that could feed into other evaluative exercises.	**No significant additional resources required**: Secretariat already review TAP progress on an ongoing basis; rather this would align the existing process with new M&E strategy	Annual (end of calendar year)
Biennial PoW reporting	The existing biennial PoW reports to the COPs already provide a summary of TA-related progress and results. This process will continue, but may eventually need to be aligned with the new TAP M&E strategy.	**No significant additional resources required**: Secretariat already report on PoW to COPs; rather this would align the existing process with new TAP M&E strategy	Biennial
Mid-term evaluation of the TAP	An independent, external evaluation of progress against the first two years of the TAP. This could potentially be undertaken by a single consultant, based on a literature review and remote interviews with key stakeholders. The evaluation would be **formative**, with the main purpose being to recommend refinements for the TAP's final two years. The work would also serve to validate (or challenge) the Secretariat's own annual self-evaluations.	**$10k-$20k** for a desk-based evaluation, **up to $30k** if country case studies are applied	2019 (Q4)
Final evaluation of the TAP	An independent, external evaluation of the whole TAP (2018-2021). This could be undertaken by a single consultant or – at most – a small team of 2-3 consultants. It would likely involve country-level case studies, in turn requiring evaluation visits to the selected countries. The evaluation would be **summative**, identifying the definitive results achieved by the TAP. It would also be used to inform – and recommend improvements for – the next TAP.	**$40k-$60k**, depending on number of country case studies	2021 (Q3-4)
Targeted, thematic evaluations	The annual self-evaluations may identify aspects of the TAP where data / evidence is weak, and/or aspects of the TAP that are judged to be sufficiently important to warrant closer analysis. Discrete evaluations could be commissioned to look at (for example) the TAP's approach to	**$10-$30k** per evaluation	N/A

	gender, the application of the TAP in **specific countries** or **regions**, the TAP's effectiveness in address capacity gaps relating to **specific chemicals** or **specific legislative processes**, etc. Each evaluation could likely be undertaken by a single consultant, based on desk reviews and remote interviews. However, country-level or regional analyses would benefit from evaluation visits.		
No dedicated TAP evaluation	No dedicated, independent, external evaluations of the TAP. Instead, independent TAP evaluation would be 'deferred' to the higher-level exercises (e.g. SC Effectiveness Evaluation). The data gathered through TAP M&E systems and reports would provide the core evidence base for such evaluations. However, it would be important to ensure that these higher-level exercises place sufficient emphasis on analysing TA.	**No significant additional resources required**, but need to ensure that the design processes for higher-level evaluations fully take into account the TAP M&E strategy and the data / evidence being generated through the M&E strategy	N/A
Evaluation of all BRS-related technical assistance	This would be a large, complex evaluation analysing **all BRS-related TA** (i.e. looking beyond the TAP and beyond the BRS Secretariat). It would require cooperation from – and joint coordination with – the main providers of BRS-related TA (e.g. UNIDO, UN Environment, governments providing bilateral assistance). Given the complexity and resource requirements of such an exercise, it would only be justified if there was a clear strategic driver (e.g. if demands arise among Parties for the reform of BRS-related TA; if Implementing Agencies are looking to improve harmonisation of their TA work).	Significant resources required, depending on scope: **at least $300k**. Co-funding could be sought from other Implementing Agencies.	N/A