

Annex E: Evaluation Audit Trail Template

(To be completed by the Project Management Group (PMG) to show how the received comments on the draft report have (or have not) been incorporated into the report of the evaluation. This audit trail should be included as an annex in the final evaluation report.)

To the comments received on 27.04.2020 from the Mid-term Evaluation of the IOMC Toolbox for Decision Making in Chemicals Management – Phase III

The following comments were provided in track changes to the draft evaluation report; they are referenced by institution (“Author” column) and track change comment number (“#” column):

Author	#	Para No./ comment location	Comment/Feedback on the draft evaluation report	Evaluator response and actions taken
Kersten Gutschmidt, WHO	1	2	Revision of text: Phase II of the Toolbox project was implemented between November 2013 and October 2017 to undertake in-depth pilot testing of the Toolbox with user groups and carried out promotion and Toolbox training for 4 years with a €2,000,000 grant from the EC. Funding was provided through a Contribution Agreement between the EC and WHO. Participating Organizations included FAO, ILO, UNEP, UNIDO, UNITAR, and OECD. . While the World Bank and UNDP were not official partners in the Project, they were regularly contacted to identify and put forward relevant tools to be included in the Toolbox. In addition, both Organizations received bi-annual updates on the IOMC Toolbox project as part of the IOCC meetings. ¹ Four new management schemes were added during Phase II of the IOMC project:	Change accepted
Kersten Gutschmidt, WHO	2	2	Revision of text: Funding for Phase III was provided through two Pillar Assessed Grant or Delegation Agreements (PAGoDA), including an agreement between the EC and OECD and an agreement between the EC and WHO. Official project partners in the WHO agreement include FAO, ILO, UNEP, UNIDO, and UNITAR. Narrative reporting of	Change accepted

¹ iomc-evaluation-finalreport_rc2.pdf

			the work under the two EC agreements is included in the joint progress reports while OECD makes separate financial reports to the EC.	
	3	2	Revision of text: WHO convenes meetings of the joint PMG twice per year.	Accepted
Kersten Gutschmidt, WHO	4	3	<p>I think that “C” should go from “Develop and upgrade Toolbox website” to “Selection of workshop topics/agenda”, i.e. the Toolbox is used by countries to identify the tools to be implemented for their chemical management issue and, then the training focuses on those tools for which the country has to develop competencies in order to be able to implement them.</p> <p>The tools identified and trained on at the workshop depend on the target audience, i.e. the selection of participants. Therefore, I believe that the field “Selection of participants” and arrow “a” should be in- between “Develop and upgrade Toolbox website” and “Selection of workshop topics/agenda” .</p> <p>I agree with the arrows “h”. However, the box where both arrows are pointing to should also mention that workshops are used to develop capacities in countries to implement (in addition to develop) existing strategies.</p>	<p>Kept C and added an arrow between “develop and upgrade toolbox website: and “selection of workshop topics / agenda”</p> <p>Arrow A is in two directions to capture that the agenda is adapted to target audience</p> <p>Box two arrows pointed at is changed as suggested</p>
Valérie Frison, OECD	5	3	<p>I disagree with this chart as the workshops and (most) webinars should train on key tools and not on the IOMC Toolbox itself. The IOMC Toolbox is a support but not essential. An arrow from the development and improvement of guidance towards the workshops and webinars box should be added. Or, as an alternative, the development of guidance box and the upgrade of the toolbox box should be in a dotted box like the one for the workshops and that dotted box be linked to the workshops one.</p>	<p>No change on first point given Brandon's clarification below</p> <p>We have adopted your alternative suggestion</p>
Brandon Turner, UNITAR	6		<p>But we should also recognise the project was designed to use the Toolbox as a method for training, e.g. working through the schemes and identifying key actions and related tools. This is reflected in the training guidelines.</p>	Agreed

Kersten Gutschmidt, WHO	7	Limitations	The aim of the national workshops is to strengthen national chemicals management systems through the implementation of relevant tools in the Toolbox; and to conduct regional workshops to share the experience gained from the national pilot workshops and to build to build capacities in the region.,	Phrase describing the purpose of the workshops has been cut
Valérie Frison, OECD	8	Limitations	The workshops' purpose is to build capacity on chemicals management, key tools etc (page 2 and 7 of the Description of the Action)	Phrase describing the purpose of the workshops has been cut, see above
Beatrice Grenier, FAO	9	5	Since the IOMC exists for more than 20 years, it may sound weird to say so. There are some smaller projects (several organisations together), with budget coming from each org. Important to keep in mind: the IOMC has not been set for making projects, but IOMC is a coordinating mechanism. Either you add: "only joint IOMC project with a dedicated budget coming from an outside donor (???)". Best to check with Carolyn Vickers, WHO. See also finding 12	This comes directly from a respondent working for the IOMC Secretariat. It underscores the finding that there is a unique opportunity presents itself. Would prefer to leave without caveats.
Kersten Gutschmidt, WHO	10	5	Is this the correct reference?	Corrected
Kersten Gutschmidt, WHO and Beatrice Grenier, FAO	11	5	Revision of text: Workshops on pesticides led by FAO have not included other agencies, probably due to the fact that workshops were organised on the Pesticide Registration Toolkit only, which is a FAO tool.	Text revised
Beatrice Grenier, FAO	12	5	What is important to note is that those trained in FAO workshops came from all pesticide-relevant sectors and included staff from ministries of agriculture as well as health and environment (and sometimes labour or industry).	Inserted text not accepted because the point is on IOMC members working together

Brandon Turner, UNITAR	13	5	Is there value in one or more additional POs participating in the workshops to help address linkages with/address other relevant areas of chemicals and waste management?	Text added
Brandon Turner, UNITAR	14	5	In reference to finding 5: This could be addressed in case studies, and also highlighted in the stakeholder entry point part of the Toolbox.	The finding came from developing the case studies (developed for this evaluation). The finding is picked up in the Conclusions and Lessons Learned
Baogen Gu, FAO	15	5	Revision of text: In Trinidad and Tobago, the FAO pesticide registration toolkit clearly served as a basis for bringing together an incipient community of pesticide registrars, researchers and technical professionals from agricultural, health and environmental sectors in the Caribbean to share and integrate learning across their respective countries.	Requested phrase is added
Brandon Turner, UNITAR	16	5	Probably the greatest contribution would be equally to A and B, possibly more than E?	Possibly, however here we are reporting the view of a representative of SAICM, the organization to which the finding relates
Brandon Turner, UNITAR	17	5	Yes, however, the figure of 70% applies to "Background of persons to whom the Toolbox is promoted and trained." For training, it would almost certainly be above 70% based on invitation lists.	Added the qualifier "i.e., more than 70%"
Brandon Turner, UNITAR	18	5	This was intentional as outlined in the prodoc ("all policy-makers and professionals...").	Accepted: See change made here and in the wording of the finding
Kersten Gutschmidt, WHO	19	5	Revision of text: Several respondents have said that the content of the workshops has been different to what was envisaged because the Toolbox platform was not ready.	Change made
Kersten Gutschmidt, WHO	20	5	The aim of the national workshops is to strengthen chemicals management systems through training on and later implementation of the relevant tools in the Toolbox. Initially, it was hoped that the Toolbox will be used by countries to identify the tools to be trained on ahead of the of the workshops	This does contradict what we have written. Although the prodoc says the aim of national workshops was to train on tools in the Toolbox, we found that the central idea of their being value in a toolbox as a one-stop-shop and problem-solving mechanism was not dropped. Training was provided on the Toolbox in workshops.

Valérie Frison, OECD	21	5	Not in using the toolbox, in implementing or improving their chemicals management system.	Deleted “toolbox”
Kersten Gutschmidt, WHO	22	5	The aim of the regional workshops is to share the experience and lessons learnt from national training on and the implementation of IOMC tools to a broader set of countries. Experience in using the Toolbox to identify the most relevant tools for the given management context is one among many aspects to be addressed by the regional meetings.	Changes made to reflect this
Kersten Gutschmidt, WHO And Valérie Frison, OECD	23	5	Respondents have described a number of issues that have led to a long delay, including: underestimating the work required in undertaking a complete rebuild; staff turnover; and an unreliable sub-contractor. The PMG expects the new platform to be fully on-line and functional by March 2020.	No change made – prefer to keep the more neutral text on differences in work culture
Kersten Gutschmidt, WHO	24	5	The new platform is now scheduled to be online by early May.	See below
Valérie Frison, OECD	25	5	This will not happen, given the situation it will be in summer at the earliest.	Changes made to reflect this timeline
Valérie Frison, OECD	26	5	Was already available	Deleted this point
Kersten Gutschmidt, WHO	27	5	Establishing entry points within the overall orientation and guidance (OOG) for three of the eleven basic elements for implementing SAICM (also see Finding ??).	Text in parenthesis deleted
Beatrice Grenier, FAO	28	5	Assesment of pesticides for Soil organisms	Change made to text.
Beatrice Grenier, FAO	29	5	Also to add to FAO’s pesticide registration toolkit	No addition: this is a list of tools, not the toolkits being added.
Brandon Turner, UNITAR	30	5	The needs assessments were undertaken as part of lengthy discussions with the national partners prior to and during agenda development. An initial stocktaking by all POs on knowledge of national priorities and past/current projects was also undertaken (see <i>IOMC Toolbox - Country selection for industrial chemicals management workshop (28.02.2019).doc</i>). But it’s accurate that we did not outline this in	While the sentence makes reference to the training guidelines, we have taken good note of your comment and added a sentence explaining that needs assessments are being undertaken in practice. Another option you might want to consider is as well pre-workshops

			the training guidelines; those focus on the training approach. We can revise to include the preparatory tasks. Similarly, regarding learning objectives.	questionnaires to participants to also take their expressed needs into account.
Brandon Turner, UNITAR	31	5	To update.	We understand that this comment might be directed to the PMG for action following the evaluation.
Brandon Turner, UNITAR	32	5	To analyse and apply.	We understand that this comment might be directed to the PMG for action following the evaluation.
Kersten Gutshmidt, WHO	32	5	As discussed at the PMG meeting, please expend on international quality standards	We have provided information on Quality Standards in the footnote.
Brandon Turner, UNITAR	33	5	Needs assessment issue addressed above. Consistent use of evaluations needs to be increased.	We understand that this comment might be directed to the PMG for action following the evaluation.
Beatrice Grenier, FAO	34	5	Same comment as above. It sounds restrictive to say so. Inter-agency collaboration does happen in other ways. Also at field level.	We think it important to highlight this unique example
Brandon Turner, UNITAR And Kersten Gutschmidt, WHO	35	5	Revision of text: Normally, UN agencies work on their own chemicals management projects: it is highly unusual to have seven	Change made
Beatrice Grenier, FAO	36	5	Revision of text: For example, FAO has reduced its program in 2019 for training pesticide registrars as a result.	Change made
Baogen Gu, FAO	37	5	The project's theory of change and assumptions underpinning it is shown in Error! Reference source not found. and Error! Reference source not found. , respectively.	Change made
Valérie Frison, OECD	38	5	Revision of text: The project objective/impact is that "countries implement SAICM" which the evaluation team interprets to mean "contribution to sound management of chemicals in countries that have benefited from capacity building activities of the IOMC Toolbox project..	Change made

Valérie Frison, OECD	39	5	The output is not only the toolbox but is mostly the capacity building activities	Change made
Beatrice Grenier, FAO	40	5	Revision of text: These interactions can lead to new patterns of interaction (e.g., pesticide registrars helping each other in their work through communication via a pesticide discussion group on the FAO Toolkit or WhatsApp) that can catalyze big changes.	Change made
Brandon Turner, UNITAR	41	5	Not sure this is entirely accurate. Part of the initial thinking was that ongoing activities provided a framework to which use of the toolbox and toolkits could be applied. However, the topics were also based on national priorities (that were not necessarily active yet) as discussed with the national partners.	See change made
Sylvie Poret, OECD	42	5	Revised text: OECD volunteered to hold a national workshop in Indonesia because Indonesia is a key Partner to the Organization, and one of the hallmarks of an emerged economy is having PRTR in place. PRTR was not a high priority for the Indonesian government. The Basel Convention Regional Centre for Southeast Asia and Stockholm Convention regional centre was asked to host the workshop: the government was not and has not started working on PRTR, however. Nevertheless, the workshop was of interest to those who attended, and served to provide some impetus to starting to establish a PRTR in Indonesia or at least to understand the benefits of and necessary actions to establish a PRTR.	See change made
Valérie Frison, OECD	43	5	The PRTR topic was a request made by the Indonesian government prior to the workshop and the webinars. It was because they didn't understand it and had never worked on it yet.	Change made
Kersten Gutschmidt, WHO And Beatrice Grenier, FAO	44	5	Revised text: In the evaluation team's view, it makes sense for Toolbox project workshops to be planned as part of on-going initiatives because apart from a final webinar, the Toolbox project has no means by which to support follow up actions. In the on-line survey, most participants that responded said they attended the workshops because of	Change made Change made

			their position and responsibilities. Examples of reasons given where:	
Brandon Turner, UNITAR	45	5	This is not accurate. The broader reach was determined by the national priorities and subsequent agenda development.	Change made
Brandon Turner, UNITAR And Kersten Gutschmidt, WHO	46	5	Revised text: This assumption is based on the expectation that the country-level workshops would focus on building participants' capacity to use the Toolbox and the tools in the Toolbox to develop chemical management strategies and resolve issues in countries.	See deletion
Kersten Gutschmidt, WHO	47	5	The fact that the Toolbox was not available had mainly an impact on how to plan for the workshops themselves, i.e. to use the Toolbox for identifying the tools to train on . Instead of using the Toolbox, identification of tools to train on has been done through consultation with the countries (at least in the case of WHO workshops). At the workshops by far the majority of time was allocated to train on the tools identified. Little time was used to give a feel for the Toolbox.	See change to text
Beatrice Grenier, FAO	48	5	Indeed, given that the new system is not yet on-line, this evaluation would question whether there should be any promotion at COPs or to other large, multi-disciplinary audiences, even of a low profile. Suggestion: At ICCM5?? (information paper on multi sectoral collaboration?)	No change required to evaluation report – PMG can take this forward
Beatrice Grenier, FAO	49	5	Revised text: The evaluation team assumes that participants in the longer five-day FAO pesticide registration workshops gained most because the workshops focused on a single toolkit and one dimension of the agricultural chemical life cycle and more time for exercises.	Change made
Beatrice Grenier, FAO	50	5	FAO has carried out six capacity development national and regional workshops under the auspices of the IOMC Toolbox project between 2018 and 2019, covering 29 countries.	Change made
Sylvie Poret, OECD and Beatrice	51	5	SAICM began tracking the use of the Toolbox in the period 2014-2016. Given this, it makes more sense that the project target is to increase use of the Toolbox rather	Change made

Grenier, FAO			than increase use of IOMC tools more generally, particularly as the two most used tools, are not part of the Toolbox (...) Respondents were presented with a list of 13 tools of which the IOMC Toolbox was one.	
Sylvie Poret, OECD	52	5	Not clear: which toolkit? Did you mean “Toolbox”?	Change made
Brandon Turner, UNITAR	53	5	We could explore the possibility of including links to the Toolbox in the 12 other tools listed in the survey. And check that they are featured as tools in the Toolbox where applicable.	Change made
Beatrice Grenier, FAO	54	5	Revised text: The evaluation team asked respondents as to their expectations as to the number of users that should be visiting the Toolbox platform. While no one provided definite numbers, all thought the target group is small compared to portals such as OECD’s eChem Portal (accessed 830,000 times in 2014), ² limited to those working on sound chemical management. Respondents said that they saw the Toolbox platform as one you would visit to find the necessary documents, after which you access them directly without going back to the platform.	Change made
Beatrice Grenier, FAO and Sylvie Poret, OECD	55	5	Egypt with two participants from Jordan	Egypt changed to Jordan
Brandon Turner, UNITAR	56	6	Not sure this is accurate. The broader reach was planned in phase III.	Phrase deleted
Sylvie Poret, OECD and Kersten Gutschmidt, WHO	57	6	Revised text: The main project intervention in Phase III is to hold 20 workshops to train participants on chemicals sound management through the use of the new Toolbox platform.	Change made
Valérie Frison, OECD	58	6	It would be more fair to say the number of workshops that happened. This sentence gives the impression that no workshop was held. In	Change made to make it clear the workshops are still happening

² <http://sdg.iisd.org/commentary/guest-articles/iomc-reflects-on-its-first-20-years-and-highlights-20-achievements/>

			<p>addition, as said in the description of the action, the topic of the workshops is not the toolbox itself but tools etc I agree the toolbox is a good support but it is not compulsory to make a good training on chemicals management.</p>	
Brandon Turner, UNITAR	59	6	<p>We could organise multicountry or regional webinars with a focus on national stakeholders sharing their needs, experience, and eventually use of the Toolbox, tools, and toolkits. IOMC experts could then take less of a lecturing role and more of a convening/facilitating role.</p>	No change required to evaluation report – PMG can take this forward
Brandon Turner, UNITAR	60	7	<p>Addressed above, but we can explore other ways to undertake needs assessment further. We will review and see what lessons can be learned and built in. To discuss if this is a practical add-on or just another forum that will not be sustainable. We can review which workshops did not follow this model and apply it consistently and to other cases, e.g. regional workshops. In many cases, holding a webinar at the national level can only be done by gathering at a single location, which is not ideal given the coronavirus situation. We could look into this with follow-up questionnaires or asking at follow-up webinars, for example. Using existing workshops from other projects was the initial plan, but was generally not carried out due to lack of toolbox.</p>	No change required to evaluation report – PMG can take this forward
Brandon Turner, UNITAR	61	7	To do when Toolbox available.	No change required to evaluation report – PMG can take this forward
Brandon Turner, UNITAR	62	7	This was also part of initial plan. To revisit when Toolbox available.	No change required to evaluation report – PMG can take this forward
Kersten Gutschmidt, WHO	63	7	<p>It is the current rule that on average 70% of the EC funding has to be spent before the next payment can be requested. Nevertheless, developing the certified consolidated financial report is a very bureaucratic and cumbersome act involving all partners which has the potential to delay overall reporting.</p>	Text changed to this: The PMG should explore ways in which the preparation of the certified consolidated financial reports can be made less bureaucratic so as to allow tranche payments to be made in a timelier manner.
Kersten Gutschmidt, WHO	64	7	<p>This has become more event because of COPVID-19 and the fact that face-to-face meeting had to be canceled/postponed.</p>	No change necessary

Baogen Gu, FAO	65	7	The fourth phase is necessary.	Change made
Baogen Gu, FAO	66	7	Revised text: The PMG should continue with its conversation with the EC as to requesting a no cost extension of one year and a fourth phase. One requirement for either option is that the project partners agree how the Toolbox website and relevant Toolkits will be maintained after the end of the project. A second requirement is that the any extension and new phase is aligned with the beyond 2020 SAICM vision that is currently being developed as part of the intercessional process.	Change made
Beatrice Grenier, FAO	67	Case study	Revised text: FAO is responsible for maintaining and building capacity in the use of the FAO Pesticide Registration Toolkit as part of the IOMC Toolbox.	Change made
Beatrice Grenier, FAO	68	Case study	Revised text: A similar workshop was carried out in the same venue almost exactly two years previously in February 2017, with different funding sources. ³	Change made
Beatrice Grenier, FAO	69	Annex E	Revised text: Mr. Baogen Gu, Pesticide Management team leader, Plant Production and Protection, FAO Ms. Beatrice Grenier, Pesticide Management specialist, Plant Production and Protection, FAO Ms. Giulia Calcagnini, Budget and Operations officer, Plant Production and Protection, FAO	Change made
FAO	70	5	Revised text : Workshops on pesticides led by FAO have not included other agencies, probably due to the fact that these workshops were focusing on the FAO Pesticide Registration Toolkit and covered pesticides that are chemicals mostly used in agriculture, an area led by FAO among IOMC organisations ; the Toolkit is mostly used in agricultural sectors in training countries.	Change made

³ <http://www.fao.org/pesticide-registration-toolkit/training/training-detail/en/c/852900/>