



Stockholm Convention on Persistent Organic Pollutants

**Conference of the Parties to the Stockholm
Convention on Persistent Organic Pollutants
Ninth meeting**

Geneva, 29 April–10 May 2019

Item 5 (i) of the provisional agenda**

**Matters related to the implementation of
the Convention: effectiveness evaluation**

Effectiveness evaluation of the Stockholm Convention pursuant to Article 16

Addendum

Framework for the effectiveness evaluation of the Stockholm Convention

Note by the Secretariat

As is mentioned in document UNEP/POPS/COP.9/20, the annex to the present note sets out the framework for the effectiveness evaluation of the Stockholm Convention on Persistent Organic Pollutants pursuant to Article 16, as revised by the Secretariat in response to decision SC-8/18 of the Conference of the Parties to the Stockholm Convention. The revised framework is presented without formal editing.

* Reissued for technical reasons.

** UNEP/POPS/COP.9/1.

Annex

Framework for the effectiveness evaluation of the Stockholm Convention pursuant to Article 16, revised after the first evaluation cycle

Introduction

1. The objective of the Stockholm Convention is to protect human health and the environment from persistent organic pollutants. The Convention entered into force on 17 May 2004, 90 days after the date of deposit of the fiftieth instrument of ratification, acceptance, approval or accession. As at 1 December 2018, there are 182 Parties to the Convention.
2. The Convention requires Parties to adopt and implement measures aimed at reducing or eliminating the release of persistent organic pollutants into the environment with a view to protecting human health and the environment from those substances. The measures adopted by Parties will vary, reflecting their differing situations. It is expected, however, that in combination they will reduce overall releases with consequent benefits for human health and the environment across the globe.
3. Paragraph 1 of Article 16 of the Convention states that, commencing four years after the date of entry into force of the Convention, and periodically thereafter at intervals to be decided by the Conference of the Parties, the Conference shall evaluate the effectiveness of the Convention. Paragraph 3 of Article 16 states that the evaluation shall be conducted based on available scientific, environmental, technical and economic information. Beyond that it may be observed that, as the Convention's impact will be the result of individual and collaborative measures by Parties, any evaluation of that impact must as a practical matter include an assessment of whether the combination of measures adopted by Parties provides, at the aggregate level, a timely improvement in the situation prevailing before the Convention entered into force.
4. At its sixth meeting, the Conference of the Parties adopted the framework for effectiveness evaluation of Stockholm Convention pursuant to Article 16, including terms of reference for the effectiveness evaluation committee¹. The framework sets the basis of a two-stage evaluation process, namely a compilation by the Secretariat of information from the existing arrangements under the Convention, followed by the assessment of the available information by the effectiveness evaluation committee which undertakes the evaluation, draws conclusions and makes recommendations.
5. At its seventh meeting, the Conference of the Parties established an effectiveness evaluation committee² to perform its tasks in accordance with the effectiveness evaluation framework and to report to the Conference at its eighth meeting.
6. At its eight meeting the Conference of the Parties, among other things, welcomed the report on the effectiveness evaluation of the Stockholm Convention on Persistent Organic Pollutants pursuant to Article 16,³ including the conclusions and recommendations of the effectiveness evaluation committee,⁴ and the report on the framework for effectiveness evaluation⁵. It also noted that the framework had provided a good basis for conducting the first evaluation cycle, and requested the Secretariat to revise it in the light of the report of the effectiveness evaluation committee.
7. The framework for effectiveness evaluation, as revised after the first evaluation cycle, is contained in the present report.

I. Purpose of the effectiveness evaluation

8. The purpose of the effectiveness evaluation is to assess whether the Convention has succeeded in achieving its objective of protecting human health and the environment from persistent organic pollutants; to determine the effectiveness of the specific measures taken to implement the Convention in achieving this objective; and to identify ways to improve the effectiveness of the Convention.

¹ See decision SC-6/22.

² See decision SC-7/24.

³ See decision SC-8/18 and UNEP/POPS/COP.8/INF/40.

⁴ UNEP/POPS/COP.8/22/Add.1.

⁵ UNEP/POPS/COP.8/INF/41.

II. Arrangements for conducting the effectiveness evaluation

A. Overview of the process

9. Each effectiveness evaluation cycle is conducted in two stages. The first stage consists of a compilation by the Secretariat of information gathered through existing arrangements under the Convention.

10. For the second stage of the process the effectiveness evaluation committee, established by the Conference of Parties for each evaluation cycle, evaluates the available information and develops an assessment report on the effectiveness of the Convention, including conclusions and recommendations.

11. The Secretariat and the committee work in a complementary manner keeping open and active communication, hence ensuring that the committee members have all needed information available to them in a timely manner. Between the meetings of the committee, its Bureau, composed of the chair and the vice-chair, guides the Secretariat's activities and reviews drafts in advance of their submission to the committee to facilitate its work.

B. Stage 1: Information collection and compilation

12. Pursuant to Article 16, the effectiveness evaluation shall be conducted on the basis of available scientific, environmental, technical and economic information, including:

- (a) Reports and other monitoring information pursuant to paragraph 2 of Article 16;
- (b) National reports submitted pursuant to Article 15;
- (c) Non-compliance information pursuant to the procedures to be established under Article 17.

13. Information on measures taken to implement the provisions of the Convention is available through various existing arrangements under the Convention. Well-structured and verified reports are available from dedicated processes and expert groups such as the monitoring report produced under the global monitoring plan of the Convention, the reports received from the DDT expert group, the Toolkit experts, and the PCB Elimination Network. The Secretariat compiles information that it receives pursuant to Article 15 and prepares a report on technical assistance. These reports, along with the report on the financial mechanism and any other relevant information are made available to the Conference of the Parties and constitute the basis for effectiveness evaluation.

14. To ensure quality assurance and quality control (QA/QC) of the effectiveness evaluation, data and information coming from various sources are validated through the expert processes analysing the data and preparing the structured reports for the committee and/or by the Secretariat, within its mandate.

15. The Secretariat should endeavour to synchronize the compilation of the various reports contributing to the effectiveness evaluations to ensure integration and coherence in the assessments presented to the Conference of Parties. Consideration should also be given to the limitations and uncertainties associated with the various data sources (e.g., a lack of reporting; no compliance mechanism).

16. The first stage of the evaluation process will end with a compilation by the Secretariat of the information mentioned in the paragraphs above to support the evaluation of the effectiveness of the Convention.

C. Stage 2: Information synthesis and evaluation

17. The second stage of the evaluation process is initiated by the establishment, by the Conference of the Parties, of the effectiveness evaluation committee. The committee reviews the information compiled by the Secretariat. It evaluates the information, draws conclusions as to the effectiveness of the Convention, and makes recommendations to the Conference of the Parties on any improvements that might be warranted. Revised terms of reference for the committee, building on the terms of reference adopted by decision SC-6/22 and adjusted as appropriate, are found in the appendix to the present document.

D. Information analysis

18. The evaluation would conform to the standards for evaluation in the United Nations system.⁶ This includes:

⁶United Nations Evaluation Group. Standards for Evaluation in the UN System. UNEG/FN/Standards (2005). <http://unevaluation.org/unegetstandards>.

- (a) Using appropriate methods of analysis and synthesis to summarize findings;
- (b) Interpreting the significance of results;
- (c) Making judgements according to clearly stated values that classify a result (e.g., as positive or negative and high or low);
- (d) Considering alternative ways to compare results;
- (e) Generating alternative explanations for findings and indicating why they should or should not be discounted;
- (f) Recommending actions or decisions that are consistent with the conclusions;
- (g) Limiting conclusions to situations, time periods, regions, contexts and purposes to which the findings are applicable.

E. Baseline

19. The first global monitoring report (UNEP/POPS/COP.4/33) set a baseline for information on levels of persistent organic pollutants in humans and the environment. The data available for each region vary greatly, with some regions having considerable historical data. The collation of data from the national reports submitted in 2010 can serve to identify baseline data and gaps for most other indicators. Under the effectiveness evaluation the global progress achieved under the Convention will be evaluated. For that reason, in most cases the status quo as of the date on which the Convention or its amendments entered into force⁷ will be used as the baseline to evaluate its effectiveness on the global level. If such information is not available (e.g., monitoring data) the first relevant information which becomes available will be considered as the baseline against which changes over time will be evaluated.

20. For consecutive evaluations, the information generated during the first evaluation cycle⁸ provides the baseline.

F. Schedule for the evaluation

21. The effectiveness evaluation is conducted every six years.

G. Conclusions and recommendations of the effectiveness evaluation committee

22. Following its review of the compilation of information prepared by the Secretariat, the committee meets to discuss the information available. The committee members will seek to reach agreement by consensus. Should consensus not be reached by members, the range of their views would be reflected in any report to be submitted to the Conference of the Parties.

23. The effectiveness evaluation involves the extraction of relevant and available information from global monitoring reports, national reports, reports on compliance and other relevant sources of information, as set out in the compilation of information prepared by the Secretariat. Next follows an assessment of their significance, identification of changes over time, the drawing of conclusions as to the effectiveness of the Convention, the delineation of the limitations of the evaluation and the development of recommendations by the committee for the Conference of the Parties to consider. Any such recommendations will provide reasons, and cite relevant supporting documents. The evaluation results in a report to the Conference of the Parties.

H. Resources required

24. The evaluation requires resources for two meetings during each evaluation cycle for the review of the data available and the drafting of an evaluation report. Financial support (i.e., travel and daily subsistence allowance) will be made available to eligible committee members and invited experts for

⁷ The Stockholm Convention entered into force on 17 May 2004. For amendments, there is no general entry into force date because pursuant to Article 22.4, Parties can elect to be bound by amendments adopted within one year of their circulation by the depositary unless they object, or to be subject to a ratification procedure. Because most Parties have chosen to be bound by the former process, while recognizing there is no single entry into force date, that date will be used. Thus the amendment to list alpha hexachlorocyclohexane; beta hexachlorocyclohexane; chlordecone; hexabromobiphenyl; hexabromodiphenyl ether and heptabromodiphenyl ether; lindane; pentachlorobenzene; perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride; and tetrabromodiphenyl ether and pentabromodiphenyl ether entered into force for those Parties not objecting on 26 August 2010 and the amendment to list endosulfan entered into force for the same Parties on 27 October 2012. This legal point notwithstanding, for ease of reference, simplified wording has been used in the document, which merely refers to entry into force of amendments.

⁸ UNEP/POPS/COP.8/INF/40.

participation in committee meetings in accordance with United Nations rules and regulations. When considering the invitation of experts, the committee will consider the availability of resources. The Secretariat also requires resources to appoint the two internationally recognized experts, to compile the information and to provide support to the committee. These resources are included in the programme of work and budget for each relevant biennium approved by the Conference of the Parties.

III. Elements and indicators for the effectiveness evaluation

25. The evaluation will consider the Convention's objective to protect human health and the environment from persistent organic pollutants and will consider process and outcome indicators. Process indicators measure what happens during implementation (for example, the adoption of legal and administrative measures or the development of national implementation plans) and outcome indicators measure the desired impact of the measures adopted to implement the Convention (for example, reductions in the quantities of persistent organic pollutants released). The following section lists the selected indicators.

A. Protecting human health and the environment (Article 1)

26. The outcome to be addressed in assessing the effectiveness of efforts to achieve the Convention objective set out in Article 1 is whether the levels of persistent organic pollutants in humans and the environment have diminished over time. This represents a global outcome indicator of improved human health and environmental protection.

27. Three indicators have been identified for this outcome:

Outcome indicator 1	Changes in levels of each of the listed persistent organic pollutants in air
Outcome indicator 2	Changes in levels of the listed persistent organic pollutants in humans
Outcome indicator 3	Changes in levels of the listed persistent organic pollutants in other environmental media, as available
Source of information for the indicators	Global monitoring plan Other relevant monitoring data validated by monitoring experts under the global monitoring plan
Data limitations	Available data, significant geographical gaps and the relevance of long-range transport in the interpretation of trends are discussed in the 2009 global monitoring plan report (decision SC-4/31). To reduce data limitations it is important to increase the comparability of long-term global monitoring data in the core media and to provide support for developing countries and countries with economies in transition to participate in monitoring activities to address the gaps identified in the global monitoring plan report.
Baseline	First global monitoring plan reports or first monitoring result for a particular chemical in a particular geographical location published in the next global monitoring plan reports

B. Assessing measures to reduce or eliminate releases from intentional production and use (Article 3)

28. The outcomes to be addressed in assessing the effectiveness of Article 3 in helping to achieve the Convention objective are:

- (a) Have the production, use, import and export of the chemicals listed in Annex A been eliminated?
- (b) Have the production, use, import and export of the chemicals listed in Annex B been restricted?
- (c) Have the production and use of new pesticides or new industrial chemicals that have the characteristics of persistent organic pollutants been prevented?

29. Four indicators have been identified for these outcomes:

Process indicator 1	Number of Parties that have implemented measures, including legal and administrative measures, to control the production, import, export and use of persistent organic pollutants listed in Annexes A and B that meet or exceed the Convention's requirements upon the entry into force of the Conventions and its amendments thereafter-
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Source of information for the indicator	Section II of part B of the national reports
Data limitations	The date of implementation of a measure would not reflect voluntary actions that took place before the measure was in place. The degree to which the measure is implemented would not be measured, nor its enforcement.
Baseline	Entry into force of the Convention or its amendments.
Outcome indicator 2	For each chemical listed in Annexes A and B, changes in quantities produced, used, imported and exported for use
Source of information for the indicator	Section V of part B of the national reports
Data limitations	Data reported are not always for the same span of years. Data for certain years may be missing or available only for a range of years. Parties might not indicate whether imports or exports were for use or disposal.
Baseline	Entry into force of the Convention or its amendments
Outcome indicator 3	For each chemical listed in Annexes A and B, changes in quantities imported or exported for environmentally sound waste disposal
Source of information for the indicator	Section V of part B of the national reports
Data limitations	Data reported are not always for the same span of years and may be missing. Parties might not indicate whether imports or exports were for environmentally sound waste disposal. Nuances of the data need to be properly appreciated, as persistent organic pollutants will have to be disposed of once production and use have ceased.
Baseline	Entry into force of the Convention or its amendments.
Process indicator 4	The number of Parties with regulatory and assessment schemes for new pesticides and/or new industrial chemicals, considering Annex D criteria
Source of information for the indicator	National reports, section II of part B .,
Data limitations	
Baseline	Entry into force of the Convention

C. Specific exemptions and notification of use (Article 4)

30. The outcome to be addressed in assessing the effectiveness of Article 4 is whether Parties have transitioned to alternative products and processes within the allowed time period.

31. Two indicators have been identified for this outcome:

Process indicator 1	Number of Parties who are registered for specific exemptions.
Process indicator 2	Number of extensions that have been granted after the five-year exemption period.
Source of information for the indicators	The register.
Data limitations	It is assumed that Parties have registered exemptions as required.
Baseline	The year in which the exemption came into effect

D. Assessing measures to reduce or eliminate releases from unintentional production (Article 5)

32. The outcome to be addressed in assessing the effectiveness of Article 5 is whether the total quantities of persistent organic pollutants that are produced unintentionally and released into the environment have been reduced or, where feasible, eliminated.

33. Reductions in estimated releases are measures of effectiveness. Periodic inventories of releases of unintentionally produced persistent organic pollutants could also help in interpreting data on levels of persistent organic pollutants collected under the global monitoring plan.

34. Four indicators have been identified for this outcome:

Process indicator 1	Number of Parties with action plans under Article 5
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Process indicator 2	Number of Parties that have adopted measures that require best available techniques for priority source categories
Process indicator 3	Number of Parties that have evaluated the efficacy of the laws and policies relating to the management of releases.
Source of information for the indicator	Section IV of part B of the national reports
Data limitations	The degree to which an action plan is implemented is not measured, but a national evaluation of the effectiveness of measures taken can provide insights into the success of implementation. Parties that have undertaken national evaluations could be encouraged to share the information generated.
Baseline	Entry into force of the Convention.
Outcome indicator 4	Changes in releases of Annex C persistent organic pollutants in each party
Source of information for the indicator	Section III of part B of the national reports
Data limitations	It is difficult to compile data from different Parties as a result of differences in methodologies and years in which inventories in the Parties were compiled. Comparisons can therefore only be made within countries. When action plans are reviewed every five years, an update of the inventories can be used to establish trends, provided that the data are comparable and, if necessary, older data are recalculated to reflect changes in the methodology (e.g., revised emission factors).
Baseline	The year of the initial inventory in a particular party.

E. Assessing measures to reduce or eliminate releases from stockpiles and wastes (Article 6)

35. The outcome to be addressed in assessing the effectiveness of Article 6 is whether there has been a reduction in the levels of persistent organic pollutants being released into the environment from stockpiles and wastes.

36. Information on the number of products and articles in use and the quantity of wastes that consist of or are contaminated with persistent organic pollutants is useful and particularly relevant for some of the newly listed persistent organic pollutants. Even though this information is likely to prove difficult to obtain, Parties are requested to look into the feasibility of collecting these data.

37. Seven indicators have been identified for this outcome:

Process indicator 1	Number of Parties with measures in place to manage stockpiles in a safe, efficient and environmentally sound manner
Source of information for the indicator	Section IV of part B and section II of part C of the national reports.
Data limitations	Estimates of quantities of stockpiles are subject to error and may need to be corrected over time.
Baseline	Entry into force of the Convention or its amendments
Outcome indicator 2	Changes in the quantity of stockpiles being managed in an environmentally sound manner
Source of information for the indicator	Section IV of part B and section II of part C of the national reports.
Data limitations	Estimates of quantities of stockpiles are subject to error and may need to be corrected over time.
Baseline	Entry into force of the Convention or its amendments
Process indicator 3	Number of Parties with measures in place to manage wastes in an environmentally sound manner
Process indicator 4	Number of Parties that have developed and used appropriate strategies to identify products and articles in use and wastes containing persistent organic pollutants
Outcome indicator 5	Quantity of wastes identified and destroyed over time (includes wastes of products and articles consisting of or contaminated with persistent organic pollutants)
Source of information for the indicator	Sections IV and V of part B and sections II and III of part C of the national reports

Data limitations	Given that wastes are generally mixtures of substances, estimates of quantities of persistent organic pollutant wastes are subject to large errors. Information on wastes of products and articles consisting of or contaminated with persistent organic pollutants is probably difficult to collect, but is important for the newly listed persistent organic pollutants.
Baseline	Entry into force of the Convention or its amendments
Process indicator 6	Number of Parties that have identified contaminated sites
Process indicator 7	Number of Parties that have voluntarily undertaken remediation activities
Source of information for the indicator	Section IV of part B of the national reports
Data limitations	Not applicable.
Baseline	Entry into force of the Convention or its amendments

F. Implementation plans (Article 7)

38. The outcome to be addressed in assessing the effectiveness of Article 7 is whether the establishment of national implementation plans has resulted in full implementation of the Convention.

39. Two indicators have been identified for this outcome:

Process indicator 1	Number of Parties that have completed their national implementation plans and transmitted them to the Conference of the Parties in a timely manner
Process indicator 2	Number of Parties that have reviewed and updated their amended plans and transmitted them to the Conference of the Parties
Source of information for the indicators	Secretariat.
Data limitations	These data are readily available, but provide only an indication that Parties have met their obligations to develop their plans. The implementation of plans is reflected in the other elements reviewed in the effectiveness evaluation.
Baseline	Year in which the Convention and its amendments entered into force for each party.

G. Listing of chemicals in Annexes A, B and C (Article 8)

40. The outcome to be addressed in assessing the effectiveness of Article 8 is whether new chemicals have been listed in the annexes to the Convention as recommended by the Persistent Organic Pollutants Review Committee.

41. The successful implementation of this article is necessary to ensure that the Convention remains a living agreement and deals with substances known to have persistent organic pollutant properties. A success parameter is the completion of the review of chemicals and the eventual listing of new persistent organic pollutants.

42. Two indicators have been identified for this outcome:

Outcome indicator 1	Percentage of the recommendations for listing chemicals of the Persistent Organic Pollutants Review Committee that have been adopted by the Conference of the Parties
Outcome indicator 2	Number of submissions from Parties and others of information and comments on documents under review
Source of information for the indicator	Decisions of the Conference of the Parties.
Data limitations	None.
Baseline	Entry into force of the Convention

H. Information exchange (Article 9)

43. The outcome to be addressed in assessing the effectiveness of Article 9 is whether Parties have access to the information that they need on persistent organic pollutants and persistent organic pollutant-related issues, and whether that information has helped them to meet their obligations under the Convention.

44. Given the diverse and often informal methods used to disseminate information, it is very difficult to measure the impact of information exchange measures. Obtaining comparable data on outcome indicators or specific activities on a global scale would require a coordinated approach and significant investment. No outcome indicator has therefore been included for this element.

45. Three indicators have been identified for this outcome:

Outcome indicator 1	Percentage of Parties with designated national focal points
Process indicator 2	Number of Parties that have established information exchange mechanisms
Source of information for the indicators	Section VI of part B of the national reports and the Secretariat
Data limitations	None.
Baseline	Entry into force of the Convention.
Process indicator 3	Number of Parties and intergovernmental and non-governmental organizations that have submitted information on persistent organic pollutants and persistent organic pollutant-related issues through the clearing-house mechanism
Source of information for the indicator	Secretariat
Data limitations	None.
Baseline	Period of first evaluation.

I. Public information, awareness and education (Article 10)

46. The outcomes to be addressed in assessing the effectiveness of Article 10 are the extent to which stakeholders enjoy access to information on the effects of persistent organic pollutants and their sound management and alternatives and whether public awareness of persistent organic pollutant issues has improved.

47. Public awareness is an important factor for the effective implementation of the Convention. Obtaining comparable data on outcome indicators or specific activities on a global scale would, however, require a coordinated approach and significant investment. No outcome indicator has therefore been included for this element.

48. Two indicators been identified for this outcome:

Process indicator 1	Number of Parties that have taken measures to implement article 10
Source of information for the indicators	Section VII of part B of the national reports.
Data limitations	Data that are captured within the national reports are qualitative, giving only an indication.
Baseline	Entry into force of the Convention
Process indicator 2	Number of Parties participating in public information, awareness and education activities organized by Parties
Source of information for the indicator	Regional centres
Data limitations	None
Baseline	Entry into force of the Convention

J. Research, development and monitoring (Article 11)

49. The outcome to be addressed in assessing the effectiveness of Article 11 is whether Parties have undertaken research, development, monitoring and cooperation pertaining to persistent organic pollutants, candidate persistent organic pollutants and alternatives, and whether those activities have assisted Parties to better fulfil their obligations under the Convention.

50. An indicator for this element could be the number of initiatives by Parties to implement Article 11, including research, development, including best practices and techniques, or monitoring of environment and health. It is recognized that monitoring and assessment activities contributing to the global monitoring plan are relevant to the implementation of this article and that the regional and global monitoring reports can provide information that is relevant to the evaluation. Given the difficulty of accurately assessing the effect of the information produced by various initiatives in contributing to the Parties' fulfilment of their obligations, no outcome indicator has been included for this question.

51. Two indicators have been identified for this question:

Process indicator 1	Number of Parties that report undertaking research and development initiatives to implement Article 11
Source of information for the indicators	Section VIII of part B of the national reports.
Data limitations	Data that are captured in national reports are qualitative, giving only an indication.
Baseline	Entry into force of the Convention.
Process indicator 2	Number of Parties that report monitoring of persistent organic pollutants in humans and the environment
Source of information for the indicator	Section VIII of part B of the national reports.
Data limitations	Information on level of effort is mostly qualitative.
Baseline	Entry into force of the Convention

K. Technical assistance (Article 12)

52. The outcomes to be addressed in assessing the effectiveness of Articles 12 are:

(a) Whether timely and appropriate technical assistance has been made available to developing country Parties and Parties with economies in transition to enhance their capacity to implement the Convention;

(b) Whether the regional centres are providing technical assistance and promoting the transfer of technology to developing country Parties and Parties with economies in transition relating to the implementation of the Convention.

53. Four indicators have been identified for these outcomes.

Process indicator 1	Number of Parties providing technical assistance
Process indicator 2	Number of Parties receiving technical assistance
Process indicator 3	Types of technical assistance provided or received (qualitative)
Source of information for the indicator	National reporting, Part B section X questions 31 and 32 National implementation plans Reports from the Secretariat on the implementation of Article 12 Reports from the regional centres
Data limitations	None
Baseline	Entry into force of the Convention
Process indicator 4	Number of activities undertaken by regional centres providing technical assistance and promoting technology transfer to developing country Parties and Parties with economies in transition for the implementation of the Convention
Source of information for the indicator	Reports from the regional centres
Data limitations	None
Baseline	Entry into force of the Convention

L. Financial Resources and Mechanisms (Articles 13–14)

54. The outcomes to be addressed in assessing the effectiveness of Articles 13 and 14 are:

(a) Whether countries have undertaken to provide, within their capabilities, financial support and incentives in respect of those national activities that are intended to achieve the objectives of the Convention in accordance with national plans, priorities and programmes, pursuant to paragraph 1 of Article 13 of the Convention;

(b) Whether countries provided financial resources to enable developing country Parties and Parties with economies in transition to fulfil their obligations under the Convention, in accordance with paragraphs 2 and 3 of Article 13 of the Convention;

(c) Whether countries provided financial resources in accordance with its capabilities and in accordance with its national plans, priorities and programmes, to assist developing countries and countries with economies in transition in their implementation of the Convention through other bilateral, regional and multilateral sources or channels, in accordance with paragraph 3 of Article 13 of the Convention.

55. Three indicators have been identified for these outcomes. Many of these indicators are helpful in assessing these outcomes, but it should be noted that they could also inform the regular reviews of the financial mechanism undertaken pursuant paragraph 8 of Article 13 and the assessment of funding needs of developing country developing country Parties and Parties with economies in transition.

Process indicator 1	Total financial support and incentives provided in respect of those national activities that are intended to achieve the objectives of the Convention in accordance with national plans, priorities and programmes, pursuant to paragraph 1 of Article 13 of the Convention
Source of information for the indicator	National reporting, Part B section XI question 33 National implementation plans Reports from the Secretariat on the implementation of Article 13 – 14 Reports of the review of the convention’s financial mechanism and assessment of funding needs GEF reports and databases
Data limitations	None
Baseline	Entry into force of the Convention
Process indicator 2	Total financial resources provided to enable developing country Parties and Parties with economies in transition to fulfil their obligations under the Convention, in accordance with paragraphs 2 and 3 of Article 13 of the Convention
Source of information for the indicator	National reporting, Part B section XI question 34 National implementation plans Reports from the Secretariat on the implementation of Article 13 – 14 Reports of the review of the convention’s financial mechanism and assessment of funding needs GEF reports and databases
Data limitations	None
Baseline	Entry into force of the Convention
Process indicator 3	Total financial resources provided through other bilateral, regional and multilateral sources or channels, in accordance with paragraph 3 of Article 13 of the Convention
Source of information for the indicator	National reporting, Part B section XI question 35 National implementation plans Reports from the Secretariat on the implementation of Article 13 – 14 Reports of the review of the convention’s financial mechanism and assessment of funding needs GEF reports and databases
Data limitations	None
Baseline	Entry into force of the Convention

M. Reporting (Article 15)

56. The outcome to be addressed in assessing the effectiveness of Article 15 is whether the Conference of the Parties has the necessary information to assess whether Parties are implementing the Convention.

57. Reporting under Article 15 is a major source of information for the evaluation as it provides Parties’ data on their implementation of the Convention. If an insufficient number of Parties report on time, or if insufficient information is included in the national reports, the effectiveness evaluation will be impeded. To facilitate and elicit accurate, complete and timely reporting is central to the evaluation and potential improvements should be identified. It should be noted that the current reporting rate by Parties is only 40 per cent.

58. One indicator has been identified for this outcome:

Process indicator 1	Percentage of Parties reporting complete and on time
Source of information for the indicators	Compilation of information from national reports prepared by the Secretariat.
Data limitations	None
Baseline	Entry into force of the Convention.

N. Effectiveness evaluation (Article 16)

59. The outcome to be addressed in assessing the effectiveness of Article 16 is whether the effectiveness evaluation is providing useful analysis on the extent to which the Convention is achieving its objective of protecting human health and the environment from persistent organic pollutants; how well specific measures are contributing to achieving this objective; and identification of ways to improve the effectiveness of the Convention.

60. An assessment of the quality and quantity of the data available can help to identify areas for improvement that can strengthen future evaluations. The shortage of reporting data and the absence of compliance information will limit the ability of the effectiveness evaluation to provide useful analysis. Reviewing the follow-up that has occurred as a result of recommendations made in a previous evaluation can help to assess whether the evaluation has proved useful.

61. One indicator has been identified for this outcome:

Outcome indicator 1	Evidence of implementation of recommendations from effectiveness evaluation through decisions and actions of the Conference of the Parties
Source of information for the indicator	All sources considered during the evaluation.
Data limitations	The effectiveness evaluation may not have all of the information and tools necessary to fulfil its mandate (such as information from the compliance mechanism and national reports).
Baseline	First evaluation.

O. Non-compliance (Article 17)

62. Upon the establishment of procedures and mechanisms on compliance pursuant to Article 17 it may be necessary to consider and establish relevant indicators in cooperation with such a mechanism. The absence of a compliance mechanism has reduced the information available to the effectiveness evaluation process and to the Conference of the Parties on the compliance of Parties with their obligations and will thus limit the scope and utility of the effectiveness evaluation.

Outcome indicator 1	Establishment of compliance procedures and mechanisms
Source of information for the indicator	COP decisions
Data limitations	None.
Baseline	First evaluation.

P. General and cross-cutting issues

63. The evaluation will also consider more general questions of effectiveness, which do not relate to specific articles, but to the effectiveness of the Convention as a whole:

Parties and non Parties

- (a) How many Parties are there to the Convention?
- (b) What is the number of Parties for which the amendments to list additional chemicals in Annexes A, B or C have entered into force?
- (c) Of the non-Parties, are there any major producers, users, importers, exporters, or emitters of persistent organic pollutants?

Governance

- (d) Are all processes and requirements in the Convention implemented? (e.g. rules of procedure, development of guidance, review of articles requiring review, establishment of a compliance mechanism etc.) Are current governance/institutional structures sufficient?

POPs in products

(e) Is labelling promoted and systematically included as an obligation associated with listing of new POPs?

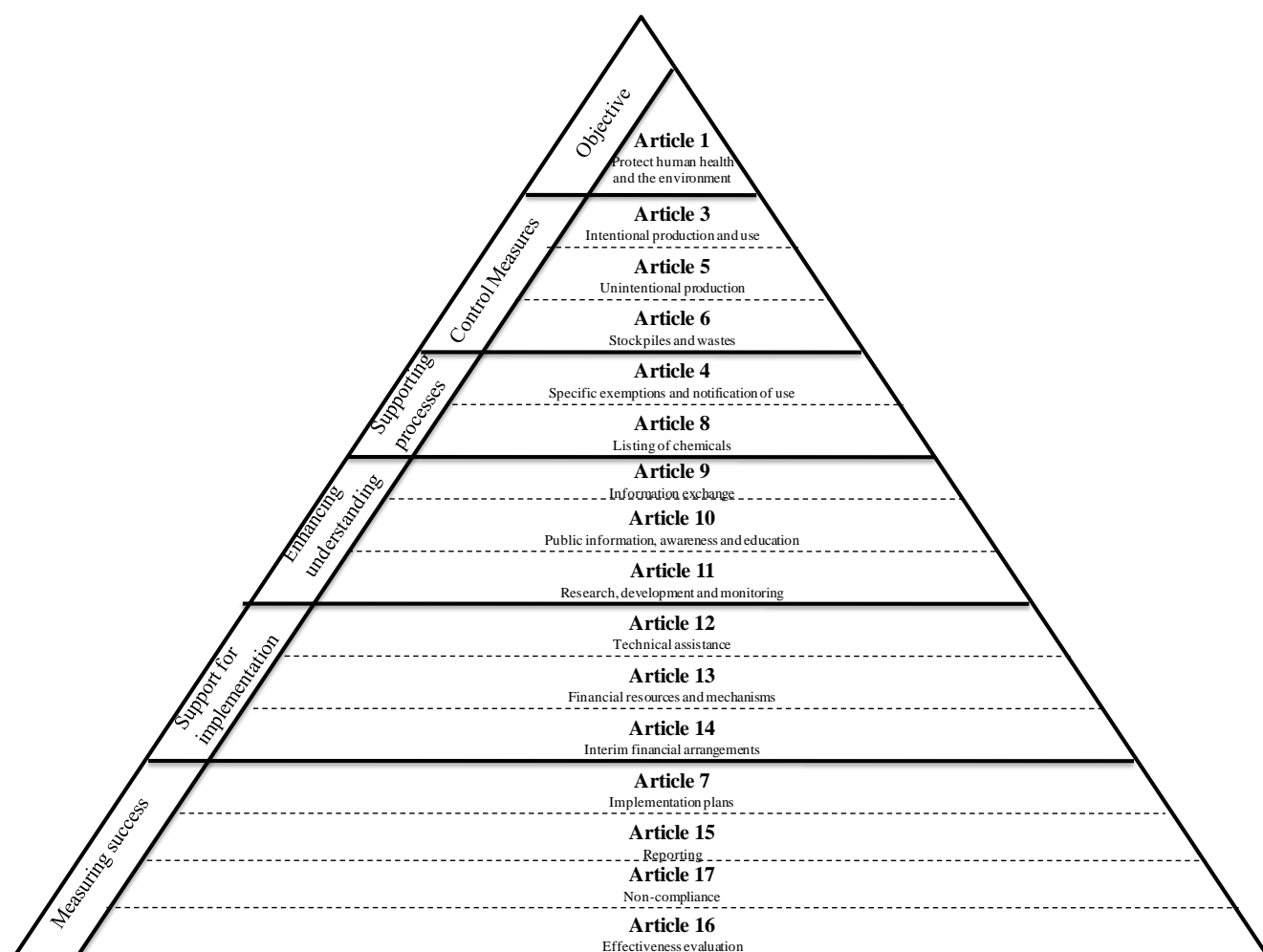
Alternatives

(f) Are safe alternatives promoted through the listing of chemicals and the assessment of alternatives by POPRC?

IV. Evaluation of the effectiveness of the Stockholm Convention

64. The evaluation is grounded in the Convention's objective to protect human health and the environment from persistent organic pollutants and considers process and outcome indicators. It is structured according to the Section III of the framework but grouped by main areas of implementation of the provisions of the Convention, as shown schematically in Figure IV.1 below. The evaluation begins with the assessment of whether the overall objective of protecting human health and the environment from persistent organic pollutants has been met, followed by assessments of the effectiveness of the specific measures to achieve this global objective: control measures to address releases of POPs, processes to support such control measures being taken, provisions for information exchange and awareness raising and for support being provided for implementation, mechanisms for monitoring success and, finally general and cross-cutting issues.

Figure IV.1. Evaluation of the effectiveness of the Convention according to the main areas of implementation



V. Limitations of the effectiveness evaluation

A. Assumptions

65. The Convention encourages Parties, and partners and stakeholders within countries, according to their capacities, to undertake various activities that can contribute to achieving the overall objective of the Convention. Attributing changes observed to measures undertaken is challenging and requires continued attention and monitoring. In addition, since most measures are not carried out in isolation, it may be difficult at times to identify a specific cause-and-effect relationship.

66. Temporal and spatial changes in levels of persistent organic pollutants in the environment are good indicators of whether the objective of the Convention is being achieved since a decrease in those levels over time would decrease exposure to persistent organic pollutants and thus their adverse impacts on human health and the environment. To evaluate the extent to which observed changes can be attributed to the measures undertaken under the Convention, however, a number of factors and concurrent processes must be taken into account. With that in mind the present framework was developed using the following assumptions:

(a) The implementation of national actions to reduce or eliminate the production, use and release of persistent organic pollutants would not have occurred, or would have been less effective or occurred later, if the Convention had not been in place;

(b) If implemented, obligations under the Convention would help to protect humans and the environment from the adverse effects of persistent organic pollutants.

B. External factors

67. Many factors play a role in the achievement of most environmental goals, and this is true of the goals to be achieved under the Stockholm Convention. Factors outside the Convention can influence the results observed in either positive or negative ways. Climate change, for example, can influence the long-range atmospheric and marine circulation of persistent organic pollutants and affect trends independently of actions and activities taken to implement the Convention. Illegal trade in persistent organic pollutants and activities occurring in non-party States are two other factors that could affect observed trends in some regions. Such factors would need to be considered when establishing and reviewing data for the evaluation. Additional information will therefore be needed to support the interpretation of data collected and to provide an accurate assessment of the effectiveness of the Convention. Many countries adopted measures to restrict or eliminate the production, use and release of some persistent organic pollutants even before the Convention entered into force. It is therefore also possible that some trends observed now are the result of those earlier actions. It may therefore not always be possible specifically to attribute outcomes to the Convention.

C. Challenges

68. The Convention imposes several reporting obligations with varying timelines (national reports, reporting on polychlorinated biphenyls, DDT, national implementation plans, etc.). At any one time, the data available will relate to various time periods, which makes the interpretation and comparison of trends challenging.

69. The implementation of the Convention depends primarily on actions and activities by Parties, which constitute a large and diverse group of countries. Collecting comparable data from such a group is complex. Parties report on whether measures have been adopted but in most cases data on the extent of implementation or the success of measures (outcomes) are not readily available. It would be useful, for example, to have information on the extent to which the Convention is being implemented through legal or administrative measures and the extent to which such measures are enforced. Such data are not readily available, however, and when available are not easily compared between countries or regions. Lack of data on outcomes limits the ability to interpret the information available.

70. National reports are the main source of data for the evaluation. A concerted effort is needed to ensure that Parties complete their reports in a timely and accurate manner. Currently, the overall reporting rate for national reports is only some 40 per cent.

71. The absence of an established compliance mechanism results in the absence of information on whether Parties are meeting the obligations of the Convention, which is crucial in determining whether the Convention is effective in meeting its objective.

Appendix

Terms of reference for the effectiveness evaluation committee

A. Mandate

1. An effectiveness evaluation committee (hereinafter, “the committee”) is established to perform the functions assigned to it by the Conference of the Parties.

B. Membership

2. The composition of the committee will reflect equitable geographical representation, aim to ensure that women and men are represented and take into account the need for a balance between types of expertise.

3. The effectiveness evaluation committee shall consist of fourteen experts, as follows:

(a) Ten experts designated by Parties from the five United Nations regions, and elected by the Conference of the Parties;

(b) One expert from the global coordination group of the global monitoring plan;

(c) One expert from the compliance committee (when and if established);

(d) Two internationally recognized experts in the field of effectiveness evaluation.

4. Experts designated by Parties and elected by the Conference of the Parties shall have expertise in environmental and health monitoring and evaluation, compliance, reporting and national implementation, or financial or technical assistance.

5. Experts from the global monitoring plan and the compliance committee shall be selected by and from among the members of their respective bodies.

6. The two internationally recognized experts in effectiveness evaluation shall be selected by the Secretariat with due consideration to available expertise on the measures under the Convention.

7. Members shall serve terms of office of two years, starting from their election at the meeting of the Conference of the Parties preceding the consideration of the effectiveness evaluation of the Convention.

8. If a member is unable to complete his or her term of office, the Party nominating that member shall nominate another person to complete the term. The same will apply *mutatis mutandis* to the other experts that are members of the committee.

C. Invited experts

9. The committee, through the Secretariat, may, subject to the availability of funds, invite no more than four experts to support it in its work.

10. When selecting experts, the committee will consider:

(a) Need for areas of expertise or knowledge of specific substances to support its work;

(b) Need to achieve gender balance and appropriate participation by developing countries and countries with economies in transition.

D. Officers

11. The committee shall elect, from among its members, a chair and a vice-chair.

E. Administrative and procedural matters

12. The committee shall apply, *mutatis mutandis*, the rules of procedure of the Conference of the Parties, unless otherwise provided in these terms of reference.

13. The committee may establish such arrangements as are necessary to facilitate its work in line with the present terms of reference.

14. The committee members shall seek to reach agreement by consensus. Should consensus not be reached by members, the range of their views shall be reflected in any report to be submitted to the Conference of the Parties.

F. Workplans

15. The committee shall report to the Conference of the Parties on all elements of the evaluation framework based on the information from existing arrangements under the Convention compiled by the Secretariat.

G. Meetings

16. The committee shall hold two meetings, to review the information available for the evaluation cycle and to develop a report to the Conference of the Parties.

H. Language of meetings

17. The working language of the committee shall be English.

I. Reporting to the Conference of the Parties

18. The committee shall report to the Conference of the Parties. Reports of the committee shall reflect any dissenting views.

19. Decisions, recommendations and meeting reports of the committee shall be made available as meeting documents of the Conference of the Parties. Reports of the committee shall also be made easily accessible and publicly available through the clearing-house mechanism of the Convention.

J. Budget

20. Except for members from developed-country Parties referred to in paragraph 4 of the present terms of reference, financial support for travel and daily subsistence allowance shall be made available to committee members and invited experts for participation in meetings of the committee according to United Nations practice.
