

**Review and Update of the National Implementation Plan for the
Stockholm Convention on Persistent Organic Pollutants (POPs) in Ethiopia,
Malawi and Zambia**

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May 2022

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REQUEST FOR Chemicals and Waste ENABLING ACTIVITY

CALL FOR FUNDING UNDER THE GEF Trust Fund

FUNDING TYPE: Non-Expedited

part i: project Information

Project Title:	Review and Update of the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) in Ethiopia, Malawi and Zambia		
Country(ies):	Global - Ethiopia, Malawi, Zambia	GEF Project ID:	10977
GEF Agency(ies):	UNEP	GEF Agency Project ID:	
Project Executing Entity(s):	Africa Institute, Stockholm Conventions Regional Centre, South Africa	Submission Date:	April 2022
GEF Focal Area (s):	Chemicals and Wastes Chemicals and Waste	Expected Implementation Start	July 2022
		Expected Completion Date	December 2025
Type of Report(s):	NIPs	Expected Report Submission to Convention	

A. Focal/Non-Focal Area Elements

Programming Directions	Trust Fund	(in \$)	
		GEF Project Financing	Co-financing
CW-EA	GEFTF	939,900	0
Total Project Cost		939,900	0

B. PROJECT DESCRIPTION SUMMARY (List the \$ by project component. Attach a detailed project budget table that supports all the project components in this table. Co-financing for enabling activity is encouraged but not required)

Project Objective: Facilitate the implementation of the Stockholm Convention in participating countries through the development, review and update of the NIPs and submission to the Conference of the Parties (COP) of the Convention

Project Component	Project Outcomes	Project Outputs	(in \$)	
			GEF Project Financing	Confirmed Co-financing
Component 1: Political support and stakeholder involvement for NIP development, endorsement and future implementation (funded through project 10785)	1. Developed, reviewed and updated NIPs are endorsed by the national government and roadmaps are adopted by key stakeholders	<p>1.1. Parties are engaged and regularly informed on project progress</p> <p>1.2 Draft national legislation or mechanism established and roadmap for adoption developed for POPs data collection and management</p> <p>1.3 NIPs are successfully linked to national development priorities</p> <p>1.4 Strengthened national and international science-policy interfaces</p>	NA	0
Component 2: Development of NIP review and update system and related tools; capacity built to use them (funded through project 10785)	2. Strategic approach used and capacities built lead to timely NIP development, review and update	<p>2.1 Methodologies for POPs inventory and other assessments needed for NIP development are available and user friendly; can be easily accessed; and sectoral approaches to POPs inventories are explored</p> <p>2.2 Report on the global production, use and trade of</p>	15,000	0

		<p>newly listed chemicals developed</p> <p>2.3 National expertise to review and update the NIP is built</p> <p>2.4 Standard structure for national data management system identified and increased cooperation and coordination among different stakeholders owning data</p> <p>2.5 Strengthened capacity to use POPs inventory and monitoring data</p> <p>2.6 Parties are informed on how to access alternatives to POPs to reduce/eliminate their presence in articles/products and implement BAT and BEP to reduce uPOPs emissions</p> <p>2.7 Strengthened capacity for action plan costs development</p> <p>2.8 Strengthened capacity to fundraise internally and externally for NIP implementation</p> <p>2.9 NIP quality is checked and final document is validated</p>		
Component 3: NIP development, review and update (Art. 7) in coordination with	3. Parties are compliant with Article 7 and 15 of the Stockholm Convention	3.1 Developed or updated NIPs are endorsed by national stakeholders and	882,000	0

national reporting (Art. 15)		submitted to the SC Secretariat 3.2 National reports submitted to the SC Secretariat		
Component 4: Knowledge management and information sharing (funded through project 10785)	4. Knowledge sharing led to improvement in the NIP development, update and implementation processes	4.1 New knowledge products and tools are developed and disseminated to target countries and all Parties to the SC 4.2 Knowledge platforms at the regional and global levels established and operational 4.3 Knowledge transferred and information exchanged using communities of practice and online training/webinars on key issues	NA	0
Component 5: Monitoring and evaluation	5. Project successfully implemented with satisfactory performance	5.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF 5.2 Independent terminal review conducted and made publicly available	6000	
Subtotal			903,000	0
Project Management Cost			36,900	0
Total Project Cost			939,900	0

C. SOURCE OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE, IF ANY

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount (\$)
Ethiopia				
Malawi				

Zimbabwe				
Others		In-kind	Recurrent expenditures	
Total Co-financing				0

DESCRIBE HOW ANY “INVESTMENT MOBILIZED” WAS IDENTIFIED.

D. GEF FINANCING RESOURCES REQUESTED BY AGENCY, COUNTRY AND PROGRAMMING OF FUNDS

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) ^{b)}	Total (c)=a+b
UNEP	GEFTF		C&W	POPs	313,300	29,763.5	343,063.5
UNEP	GEFTF		C&W	POPs	313,300	29,763.5	343,063.5
UNEP	GEFTF		C&W	POPs	313,300	29,763.5	343,063.5
Total GEF Resources					939,900	89,290.5	1,029,190.5

part ii: Enabling Activity Justification

A. Enabling Activity Background and Context (Provide brief information about projects implemented since a country became party to the convention and results achieved):

A.1 Background and Context on the Stockholm Convention

The Stockholm Convention (SC) on Persistent Organic Pollutants (POPs) was adopted in May 2001 with the objective of protecting the human health and the environment from POPs. It entered into force on 17 May 2004, initially listing twelve chemicals as POPs. However, from 2009 to 2019, the Conference of Parties (COP) amended the list several times to include the following additional eighteen chemicals into the Annexes, totalling at 30 POPs:

- a) At its 4th meeting of the Conference of Parties (COP) in May 2009, the Stockholm Convention was amended to include the following 9 new POPs (SC-4/10 to SC-4/18). The amendments entered into force for most of the SC Parties on 26 August 2010.

Table 1. POPs listed in SC at 4th meeting of the Conference of Parties (2009)

Chemical	Annex	Specific exemption/acceptable purpose	Remarks
Alpha hexachlorocyclohexane	A	None	
Beta hexachlorocyclohexane	A	None	
Chlordecone	A	None	

Hexabromobiphenyl (HBB)	A	None	
Hexabromodiphenyl ether and heptabromodiphenyl ether	A	Use: Articles in accordance with the provisions of Part IV of Annex A	In accordance with paragraph 2 of part IV of Annex A to the Convention, at its sixth ordinary meeting and at every second ordinary meeting thereafter the Conference of the Parties evaluates the progress that Parties have made towards achieving their ultimate objective of elimination of hexabromodiphenyl ether and heptabromodiphenyl ether contained in articles and review the continued need for this specific exemption. This specific exemption shall in any case expire at the latest in 2030.
Lindane	A	Use: Human health pharmaceutical for control of head lice and scabies as second line treatment	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.
Pentachlorobenzene (PeCB)	A and C	None	
Tetrabromodiphenyl ether and pentabromodiphenyl ether	A	Use: Articles in accordance with the provisions of Part IV of Annex A	In accordance with paragraph 2 of part IV of Annex A to the Convention, at its sixth ordinary meeting and at every second ordinary meeting thereafter the Conference of the Parties evaluates the progress that Parties have made towards achieving their ultimate objective of elimination of tetrabromodiphenyl ether and pentabromodiphenyl ether contained in articles and review the continued need for this specific exemption. This specific exemption shall in any case expire at the latest in 2030.
Perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride	B	Production: Acceptable purpose: In accordance with part III of this Annex, production of other chemicals to be used solely for the use below. Production for uses listed below.	As revised by Decision SC-9/4 adopted at COP 9 in 2019. These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to

		<p>Specific exemption: None</p> <p>Use: Acceptable purpose: In accordance with part III of this Annex for the following acceptable purpose, or as an intermediate in the production of chemicals with the following acceptable purpose: Insect baits with sulfluramid (CAS No: 4151-50-2) as an active ingredient for control of leaf-cutting ants from <i>Atta</i> spp. and <i>Acromyrmex</i> spp. for agricultural use only</p> <p>Specific exemption: Metal plating (hard-metal plating) only in closed-loop systems Fire-fighting foam for liquid fuel vapour suppression and liquid fuel fires (Class B fires) in installed systems, including both mobile and fixed systems, in accordance with paragraph 10 of part III of this Annex</p>	that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.
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- b) At its 5th meeting of the COP in April 2011, technical endosulfan and its related isomers (SC-5/3) was included in Annex A with specific exemptions for production and use. The amendment entered into force for most of the SC Parties on 27 October 2012.

Table 2. POPs listed in SC at 5th meeting of the Conference of Parties (2011)

Chemical	Annex	Specific exemption	Remarks
Technical endosulfan and its related isomers	A	<p>Production: As allowed for the Parties listed in the Register of Specific Exemptions</p> <p>Use: Crop-pest complexes as listed in accordance with the provisions of part VI of Annex A.</p>	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.

- c) At its 6th meeting in May 2013, COP decided to include Hexabromocyclododecane (HBCD) in the Convention's Annex A (SC-6/13) for elimination, with specific exemptions for production for use. The amendments entered into force for most of the SC Parties on 26 November 2014.

Table 3. POPs listed in SC at 6th meeting of the Conference of Parties (2013)

Chemical	Annex	Specific exemption	Remarks
Hexabromocyclododecane (HBCD)	A	<p>Production: As allowed for the Parties listed in the Register of Specific Exemptions in accordance with the provisions of Part VII of Annex A of the Convention</p> <p>Use: Expanded polystyrene and extruded polystyrene in buildings in accordance with the provisions of Part VII of Annex A</p>	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.

- d) the 7th meeting of the COP in May 2015, adopted the amendments of the SC to list the following chemicals:
- Hexachlorobutadiene (HCBd) - Annex A (SC-7/12), without specific exemptions/acceptable purposes;
 - Pentachlorophenol (PCP) and its salts and esters - Annex A (SC-7/13), with specific exemptions for production and use;
 - Polychlorinated naphthalenes (PCNs) - Annex A (SC-7/14), with specific exemptions for production and use; and Annex C to the Convention.

The amendments entered into force for most of the SC Parties on 15 December 2016.

Table 4. POPs listed in SC at 7th meeting of the Conference of Parties (2015)

Chemical	Annex	Specific exemption	Remarks
Hexachlorobutadiene (HCBd)	A	None	
Pentachlorophenol (PCP) and its salts and esters	A	<p>Production: As allowed for the Parties listed in the Register of Specific Exemptions in accordance with the provisions of Part VIII of Annex A</p> <p>Use:</p>	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an

		Pentachlorophenol for utility poles and cross-arms in accordance with the provisions of Part VIII of Annex A	extension is granted by the Conference of the Parties under paragraph 7 of Article 4.
Polychlorinated naphthalenes (PCNs)	A and C	Production: Intermediates in production of polyfluorinated naphthalenes, including octafluoronaphthalene Use: Production of polyfluorinated naphthalenes, including octafluoronaphthalene	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.

- e) In May 2017, the 8th meeting of the COP made decision to amend Annexes A and C to list:
- Short-chain chlorinated paraffins (SCCPs) – Annex A (SC-8/11), with specific exemptions for production and use;
 - Decabromodiphenyl ether (deca-BDE) – Annex A (SC-8/10), with specific exemptions for production and use;
 - Hexachlorobutadiene (HCBd) - Annex C Part I (SC-8/12).

The amendments entered into force for most of the SC Parties on 18 December 2018.

Table 5. POPs listed in SC at 8th meeting of the Conference of Parties (2017)

Chemical	Annex	Specific exemption	Remarks
Hexachlorobutadiene (HCBd)	C	None	
Decabromodiphenyl ether (deca-BDE)	A	Production: As allowed for the Parties listed in the Register Use: Additives in the production of transmission belts in the natural and synthetic rubber industry Spare parts of rubber conveyor belts in the mining and forestry industries Leather industry, in particular fatliquoring in leather lubricant additives, in particular for engines of automobiles, electric generators and wind power facilities, and for drilling in oil and gas exploration, petroleum refinery to produce diesel oil tubes for outdoor	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.

		decoration bulbs , waterproofing and fire-retardant paints Adhesives metal processing Secondary plasticizers in flexible polyvinyl chloride, except in toys and children's products	
Decabromodiphenyl ether (deca-BDE)	A	Production: As allowed for the Parties listed in the Register of Specific Exemptions Use: In accordance with the provisions of Part IX of Annex A	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.

- f) In May 2019, the 9th meeting of the COP made the decision to list:
- Dicofol - Annex A (SC-9/11), without specific exemptions;
 - Perfluotoctanoic acid (PFOA), its salts and PFOA related compounds - Annex A (SC-9/12), with specific exemptions for production and use.

The amendments entered into force for most of the SC Parties on 03 December 2020.

Table 6. POPs listed in SC at 9th meeting of the Conference of Parties (2019)

Chemical	Annex	Specific exemption	Remarks
Dicofol	A	None	
Perfluotoctanoic acid (PFOA), its salts and PFOA related compounds	A	Production: Fire-fighting foam: None For other production, as allowed for the Parties listed in the Register in accordance with the provisions of part X of this Annex Use:	These specific exemptions have a limited timeframe and shall expire five (5) years after the date of entry into force of the Convention with respect to that particular chemical (paragraph 4 of Article 4), unless an earlier date is indicated in the Register by the Party or an extension is granted by the Conference of the Parties under paragraph 7 of Article 4.

	<p>In accordance with the provisions of part X of this Annex:</p> <p>Photolithography or etch processes in semiconductor manufacturing</p> <p>Photographic coatings applied to films</p> <p>Textiles for oil- and water-repellence for the protection of workers from dangerous liquids that comprise risks to their health and safety</p> <p>Invasive and implantable medical devices</p> <p>Fire-fighting foam for liquid fuel vapour suppression and liquid fuel fires (Class B fires) in installed systems, including both mobile and fixed systems, in accordance with paragraph 2 of part X of this Annex</p> <p>Use of perfluorooctyl iodide for the production of perfluorooctyl bromide for the purpose of producing pharmaceutical products, in accordance with the provisions of paragraph 3 of part X of this Annex</p> <p>Manufacture of polytetrafluoroethylene (PTFE) and polyvinylidene fluoride (PVDF) for the production of:</p> <p>High-performance, corrosion-resistant gas filter membranes, water filter membranes and membranes for medical textiles</p> <p>Industrial waste heat exchanger equipment</p> <p>Industrial sealants capable of preventing leakage of volatile organic compounds and PM2.5 particulates</p> <p>Manufacture of polyfluoroethylene propylene (FEP) for the production of high-voltage electrical wire and cables for power transmission</p> <p>Manufacture of fluoroelastomers for the production of O-rings, v-belts and plastic accessories for car interiors</p>	
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g) At its thirteenth, fourteenth and fifteenth meetings that concluded in October 2019, the POPs Review Committee (POPRC), pursuant to paragraphs 6 and 7 (a) of Article 8 of the Convention,

completed the risk profile and risk management evaluation for perfluorohexane sulfonic acid (PFHxS), its salts and PFHxS-related compounds.

The Committee, in accordance with paragraph 9 of Article 8 of the Convention, adopted a decision recommending that the Conference of the Parties consider listing PFHxS, its salts and PFHxS in Annex A to the Convention without specific exemptions (decision POPRC-15/1).

In order to support Parties and observers and to facilitate the identification of substances, an initial indicative list of PFHxS, its salts and PFHxS-related compounds has been prepared as set out in document [UNEP/POPS/POPRC.15/INF/9](#).

h) Currently, the POPRC is evaluating Dechlorane Plus, Methoxychlor, UV-328 for listing to the Convention. POPRC has not concluded that Dechlorane Plus and UV-328 warrant global action. Methoxychlor is at the risk management evaluation stage.

In accordance with Article 7 of the SC, Parties are required to develop a National Implementation Plan (NIP) describing the measures on how the country will implement its obligations under the SC. Parties are required to transmit their NIPs to the COP within two years of the date the SC entered into force for that country.

Parties are also required to review and update their NIPs regularly, as specified by Article 7 of the Convention. The addition of chemicals to the Annexes of the SC is one of the principal factors triggering the review and update of the NIP for a Party. With the addition of 18 new chemicals to the SC, participating countries are now requesting additional financial support from the GEF, technical support from the Basel and Stockholm Convention Regional Centres, with UNEP as the Implementing Agency, to undertake their NIPs development, review and update. The revised NIPs aim to include all 30 chemicals currently listed in the Convention, but this will depend on the specific situation of each country included in this project.

According to Article 15 of the SC, each Party shall report to the Conference of the Parties, every 4 years, on the measures it has taken to implement the provisions of this Convention and on the effectiveness of such measures in meeting the objectives of the Convention. Therefore, the NIPs development, review and update also take into consideration the data needs and collect the qualitative and quantitative data to enable participating countries to complete and submit their Article 15 reports.

A.2 Key challenges in the NIPs development/update processes and national reporting

As illustrated in the graph below, an increase in the number of industrial POPs among the POPs listed in the Annexes of the Convention has brought new challenges to Parties of the SC. Challenges are related mostly to the development of POPs inventories and the access to alternatives for these chemicals. Developing countries have difficulties managing products containing the newly listed POPs

chemicals, including tracking imports and exports of POPs-containing products and collecting accurate and valid information needed for the POPs inventories.

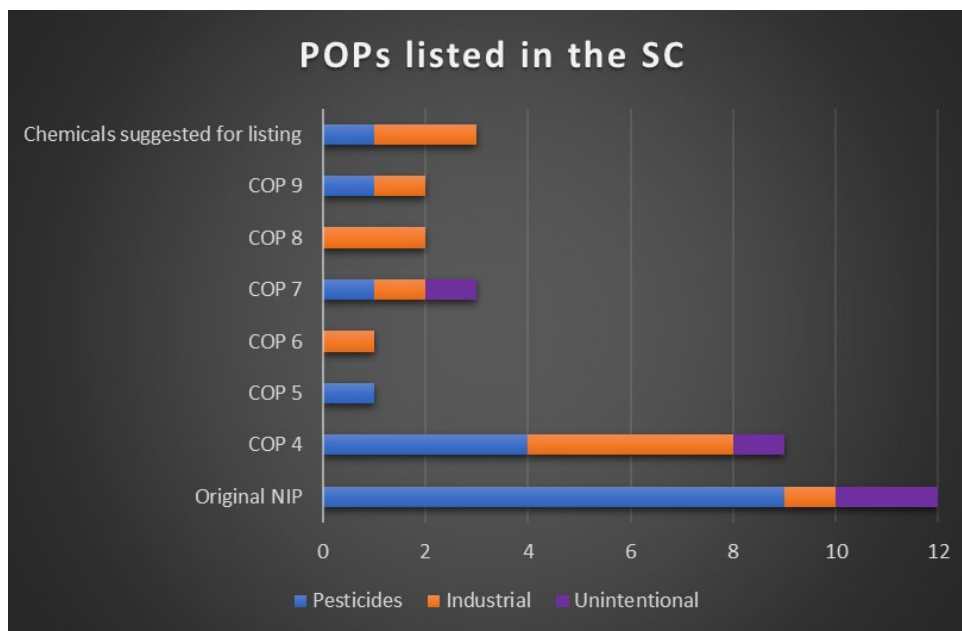


Figure 1. POPs listed in the Stockholm Convention

In addition, as new chemicals are consistently added to the Convention, there is an unrealistic expectation to rapidly and continuously update NIPs. As such, Parties to the Convention that have recently submitted NIPs covering the chemicals listed at COPs 4, 5 and 6 are still technically non-compliant with the Convention because the deadline for the transmission of NIPs including COP 7 and 8 chemicals has already passed (on December 2018 and December 2020 respectively). Even though the SC Secretariat is developing methodologies to prepare POPs inventories after every listing within the SC, many countries struggle to use the POPs inventory guidance to review and update NIPs. Therefore, rather than implementing already developed NIPs, national human resources are being mobilized to continuously update the NIPs instead. This has resulted in "NIP fatigue" among Parties to the SC.

The inventories on new industrial POPs are usually organised in three tiers:

- Tier 1: Initial assessment - is carried out to obtain an overview of the relevant uses of POPs and stakeholders to be contacted in the key sector(s) under investigation. Tier I methods usually rely on available literature and statistics in combination with calculations based on already existing information. Developing countries often develop initial assessments that are not sufficiently detailed and precise to plan the SC implementation or to identify global

environmental benefits for the development of future GEF projects to support in-country implementation of NIPs.

- Tier II: Main inventory - the objective is to generate data on the main sectors through interviews and questionnaires to the national stakeholders, and further identify missing information. The poor rate and quality of answers to questionnaires from key stakeholders is usually the main obstacle to developing the Tier II inventory.
- Tier III: In-depth inventory - includes sampling and analysis. In most cases, developing countries have no capacity to conduct in-depth inventories of POPs.

Currently, information on the global production, use and trade of newly listed chemicals and their products is still not available, and this poses a significant barrier for developing countries conducting their initial assessments (Tier 1).

Furthermore, Parties face challenges in engaging and obtaining full political support at the national level; validation and endorsement of NIPs and NIP updates often take so long that Parties are delayed in fulfilling their obligations under the Convention. In some instances, POPs management may conflict with other priorities in a country's development agenda. Additionally, many countries that have already undertaken multiple NIP updates still do not have a sustainable system in place to conduct further updates and as such continue to require international assistance and funding, further complicating and delaying the process.

Other than the issues related to data collection and management of collected data, analysis/validation is hampered by the low capacity of national and regional laboratories. When data quality is poor and not well managed, NIPs cannot assist policy makers in making meaningful and effective decisions.

Finally, there has been very minimal assistance provided to countries to conduct and complete their national reporting. This has resulted in delays and/or inaccuracies and missing information on the data submitted; for example, discrepancies have been found between NIPs/NIP updates and national reporting data. As a result, an even greater burden is placed on the countries and the Secretariat which in turn negatively impacts the evaluation of the effectiveness of the Convention.

A.3 Completed and Ongoing NIP Projects

UNEP's first global NIP project focused on the initial 12 POPs in 2002 (GEF ID1016). The project assisted 12 pilot countries to develop their original NIPs. The main objective of the global component was to propose guidelines for NIP development. Since then, UNEP's support to countries in the review and update of NIPs have been based on the guidance adopted by the SC Secretariat and approved by the COPs.

Projects developed from GEF 2 to GEF 4 only had a national component and followed the 5 steps of the NIP guidance:

1. Establishment of coordinating mechanisms and organisation of process (Step 1)

2. Establishment of a preliminary POPs inventory (Step 2)
3. Priority setting and determination of objectives (Step 3)
4. Formulation of National Implementation Plan and Action Plans on specific POPs (Step 4)
5. Endorsement of National Implementation Plan by stakeholders (Step 5)

However, these projects lacked a component on lessons learnt and would have benefitted from a platform to share information among countries, especially within a region.

During GEF 5, when the COP 4 chemicals were listed to the Convention, UNEP developed the umbrella projects GEF ID 5307 and GEF ID 5525. Both projects had a global and a national component.

The national component followed the 5 steps of the NIP guidance. The global component was developed to support sharing of information and evaluating NIPs updating with the specific objective to continue strengthening the quality and sustainability of the project through the delivery of specific and additional assistance to participating countries. The expected outcome was to enhance communication and information-sharing to enable Parties to compare and harmonize data and identify lessons learned and good practices. The component had the following outputs:

1. Identify and disseminate lessons learned
2. Identify initial needs and opportunities for exchange of information and expertise
3. Provision of regional/ global training support and encourage information exchange

As a result of this global component, the following outputs were achieved (since the projects are still ongoing, some outputs are not yet complete):

- Lessons learned have been identified and compiled in a report and published in December 2018;
- Data on DDT, PCB and PFOS were transferred to an Excel, harmonized and geo-localised in cooperation with MAPx (a platform for data sharing, analysis and visualization developed by UNEP to use new digital technologies and cloud computing to sustainably manage natural resources) to facilitate POPs data management and risk assessments;
- A roster of global, regional and national experts was developed to facilitate access to POPs experts globally;
- Several trainings and webinars were delivered mostly on new POPs inventories;
- POPs data incorporated into the SC clearinghouse to facilitate access to the information collected in the NIP inventories; and
- A guide on incorporating gender dimensions into national strategy setting in the context of chemicals management and implementation of NIPs was prepared and is currently under peer-review (managed by UNEP Knowledge and Risk Unit).

On November 2017, the project (GEF ID 9884) "Integrated SC Toolkit to Improve the Transmission of Information under Articles 7 and 15" was approved for implementation. The objective of the project is to "facilitate the development, transmission, access and use of data contained in National Implementation Plans (NIP, Article 7) and National Reports (Article 15)". Addressing one of the issues mentioned in section A2 above. For this, an integrated electronic toolkit linking the information needed for the development of National Implementation Plans (Article 7) and the National Reports (Article 15) of the SC has been developed and is currently in trail by selected number of countries. Access to guidance materials is also provided through the toolkit which will be available for use by all Parties in December 2021. However, the roll out of the toolkit, including capacity training for Parties and full operation within the NIP and NIP update process is still lacking.

Based on previous NIP development and update experiences, especially through national executed arrangements, heavy reliance on international funding and expertise have resulted in insufficient use of resources and unexpectedly long period to complete the process. In addition, regional capacity is not built and coordination not improved. Therefore, in order to align with the objective of the BCRCs-SCRCs and to reduce transaction costs, a regional and more harmonized approach is needed for project implementation. Countries should and need to work more closely with BCRCs-SCRCs to strengthen regional capacity, to increase data sharing and exchange of experiences, as first steps to shift toward effective and efficient use of international resources. Furthermore, a knowledge platform (at both regional and global levels) should be tasked with delivering regular trainings and maintaining a database of available documents including lessons learnt from previous projects. The platform would also be linked with the forthcoming electronic toolkit to allow access to NIP data so that regional trends can be identified to develop new interventions. Finally, the platform can provide a workspace where countries can raise questions and seek responses from peers. These areas of work will also foster country to country learning and problem identification /resolution.

Based on the above identified lessons learnt, a global project (GEF ID 10785) was developed and approved in June 2021 covering 21 countries and with extensive global components. This project will be executed by six different BCRCs-SCRCs and a knowledge platform will be developed by the Green Grown Knowledge Partnership (GGKP) that would be linked with existing initiatives and tools. The new project is an addendum to the global NIP update project supporting additional countries in meeting their obligations to the Convention. The addendum countries will be closely linked to the global NIP project and will be implemented and executed in close coordination.

A.4 Participating Country Baseline

The following considerations were used to select countries to be part of the project:

1. Ratified the Convention amendments; non-Parties are eligible for the initial 12 POPs only;
2. Not currently involved in an active NIP development or update process;

3. With known large quantities of wastes potentially contaminated with POPs such as electronics, textiles and end of life vehicles;
4. Not a fragile State or country in conflict;
5. Geographical balance among regions;
6. Shown positive experiences in previous NIP updates; and
7. Availability and interests of regional centers to work with the countries and vice versa.

Baseline assessments for three countries i.e. Ethiopia, Malawi, Zambia are presented in Appendix K. Information is extracted mainly from previous NIP update reports and gender baseline information is provided when available.

B. Enabling Activity Goals, Objectives, and Activities

The proposal should briefly justify and describe the project framework.

For the purposes of comprehensiveness, descriptions of the global component (component 1,2 and 4) that are funded through project 10785 are also included.

B.1 Description of the project (goals, objectives and components)

The proposed project aims at assisting participating countries to comply with their NIP-update and national reporting obligations under the SC while addressing challenges identified in Section A.2 and building on regional expertise and UNEP's experience as well as integrating the new tools developed in project 9884. The project would also complement to the global NIP project (10785) and activities will be closely linked; details are provided in relevant sections.

The overall goal of the Enabling Activity is to reduce the dependency of external expertise and resources to develop NIP and NIP updates through strengthening the political environment and technical capacities of participating countries. Lessons learned and tools/practices developed through this EA can be shared and applied to all Parties of the Convention.

The objective is to facilitate the implementation of the Stockholm Convention in participating countries through the development, review and update of their respective NIPs and submission to the SC COP.

The project is designed with five (5) components:

- Build political support and stakeholder involvement for NIP development, endorsement and future implementation (funded through project 10785);

- Develop tools and methodologies to be used by all Parties to the SC to facilitate the NIP development, review and update process and its implementation (funded through project 10785);
- Support Parties in the development, review and update of their respective NIPs and complete their national reporting following the methodologies development by the SC Secretariat and approved by the COP;
- Ensure development of knowledge products, sharing of knowledge, development of platforms for information exchange and training / familiarisation, knowledge management and reporting at the global level is reached (funded through project 10785); and
- Ensure effective monitoring and evaluation.

Relevant national, regional and international stakeholders will be consulted and involved throughout the project implementation process. The developed, updated and endorsed NIPs will provide a basis to identify activities and implement post-NIP projects in accordance with the requirements of the SC.

With the challenges identified and lessons learned from past and ongoing projects, the proposal is designed to benefit from the solid and robust **regional and global component** (components 1, 2 and 4) under the Global NIP update project (10785) and would address the identified barriers and facilitate future NIP development, review and update by Parties to the SC. The objective is also to contribute to the efforts initiated by the project GEF ID 9884 (integrated SC electronic toolkit) and facilitate the familiarisation process to utilize the toolkit in addition to access and use of data contained in NIPs.

The global component in previous NIP update projects have successfully supported countries globally on the development of their NIPs. As a result, a roster of international, regional and national experts on NIP development and implementation has been developed¹. As of February 2021, the roster listed more than 130 experts in diverse areas of POPs expertise and regional experience and this roster will be used for the project.

The global component will also organize trainings on data collection, data management, data analysis (including validation), data application, and NIP implementation in partnership with the SC Secretariat, thereby ensuring an efficient use of resources.

Furthermore, the project proposes the inclusion of an extensive knowledge sharing platform at both regional and global levels (building on the existing clearinghouse mechanism on the BRS website). The aim is to ensure linkages among countries and between regions are made, issues and challenges of

¹ <http://informea.pops.int/NIPsRoster/index.html>

common concern are identified and associated solutions are developed based on validated and objective data.

In order to further strengthen regional cooperation and build on regional expertise rather than rely on international experts, the project will involve BCRCs-SCRCs as executing agencies. The Centres will ensure NIP guidance is implemented according to the guidance of the Stockholm Convention and obligations under the Basel and Rotterdam Conventions are also considered when relevant. They will also ensure that key national stakeholders are consulted throughout the project and the project team has a strong political support to facilitate access to information for NIP development. The objective is to capacitate national governments to review and update their NIPs (independently if feasible) in the future rapidly with national resources. By working with the Centres, regional expertise will be built to assist other countries in the future.

The national component (component 3) of the project should follow the NIP guidance as approved by the COPs. As part of the NIP update process, countries will conduct a review of past and ongoing interventions that sought/seek to manage/dispose POPs so that inventories developed from this project will take into account chemicals that have already been managed and disposed.

Finally, chemicals that are currently under consideration for listing in the Stockholm Convention (PFHxS, its salts and PFHxS-related compounds) will be included as part of the training and inventory activities in the project. Specifically, training related to background, usage, and inventory methods of these chemicals will be included in component 2 while the national NIP update in component 3 will cover inventories of these chemicals. National specificities will be applied as appropriate.

For more detailed information, please refer to Section C below and the project logical framework (Appendix A).

B.2 Project Stakeholders

At the international and regional level the project will include:

- **UNEP Chemicals and Health Branch:** UNEP is the only United Nations organization with a mandate derived from the General Assembly to coordinate the work of the United Nations in the area of environment and whose core business is the environment. UNEP Chemicals and Health is the UNEP Branch that works specifically to minimize the adverse effects of chemicals and waste on human health and the environment. The implementation of this project contributes directly to reach the main mandate of the Branch;
- **UNEP Regional Offices:** UNEP has six regional offices supporting different groups of countries in their efforts towards sustainable development. The UNEP Regional Offices will identify opportunities for regional synergies and areas of cooperation. Some examples may include:

coordination of regional information exchange and provision of documents and inventories from other countries in the region, identification of regional experts, etc;

- The **Stockholm Convention Secretariat** based in Geneva, Switzerland, exerts the Secretariat role of the Stockholm Convention according to Article 20. The Stockholm Convention Secretariat will be regularly informed on the progress in the implementation of the project to be able to identify opportunities to facilitate assistance to Parties in the implementation of the Convention;
- The **World Health Organization (WHO)** works to achieve better health for everyone, everywhere. Some of the Persistent Organic Pollutants are among the list of ten chemicals of major public health concern developed by WHO; and this Organization has responded to this health and environmental issue of concern through the development of studies, tools and guidance materials. The UNEP Chemicals and Health Branch will facilitate the access to these materials and will also inform the WHO on identified needs for additional support;
- The **International Labour Organization (ILO)** brings together governments, employers and workers to set labour standards, policies and devise programmes promoting decent work for women and men. ILO has already supported initiatives to address the impact of e-waste in relation to occupational safety and health issues. These social aspects will be taken into account in the NIP updating;
- The **Basel and Stockholm Convention Regional Centres (BCRCs-SCRCs)** - The Stockholm Convention has established a network of 16 regional and subregional Centres to provide technical assistance and to promote the transfer of technology to developing country parties and parties with economies in transition relating to the implementation of their obligations under the Convention. The SCRC Czech Republic will act as executing agencies in this project.
- **Green Growth Knowledge Partnership (GGKP)** – The GGKP is a global network of experts and organizations dedicated to providing the policy, business and finance communities with knowledge, guidance, data, and tools to transition to an inclusive green economy. GGKP's three platforms, Green Growth Knowledge Platform, Green Industry Platform and Green Finance Platform, offer quick and easy access to the latest research, case studies, toolkits, learning products, principles, and protocols to empower policy makers and advisors, and investment community to make evidence based decisions about how to green their operations. Users can browse by sectors, regions, or cross setting themes, such as gender, jobs, climate change, circular economy, and natural capital. GGKP will be involved as the executing agency for Component 4 focusing on dissemination of information to both stakeholders part of and outside of the project, including organization of and reporting on all trainings/webinars,

advise on the maintenance or re-invention of Communities of Practice portal as part of the clearinghouse mechanism and liaise with the SC Secretariat in providing information and tools to be integrated with existing materials and make them easily accessible and understandable by all Parties of the SC. GGKP will support the project through the global project.

The international partners will provide ongoing support to the project and their engagement will be discussed and agreed upon in the inception meetings.

National Stakeholders

In reference to national stakeholders, strong emphasis will be placed on the participation of the private sector and civil society to ensure their active involvement in the execution of the project and sensitization towards POPs issues. NGOs, including research groups and academic institutions, industrial and professional associations, will be invited to stakeholder's consultations to contribute to the achievements of the project objectives. Special emphasis will also be placed on the participation of women, as one of the vulnerable groups to POPs, on the National Coordinating Mechanisms (NCMs) to ensure their active involvement throughout the project duration. Further, civil society organizations (CSOs) representatives will be involved in the NCMs as necessary. A preliminary and general list of national stakeholders has been identified below for each country. At a minimum, these agencies and organizations, or their equivalent, should be considered and invited to the NIP development and update process. Final list of national stakeholders will be adopted according to national specificities and previous NIP update experiences in participating countries.

National stakeholder preliminary list include: Ministry of Environment, Ministry of Energy, Ministry of Industry, Ministry of Health, Ministry of Agriculture, Ministry of Trade, Ministry of Finance, Ministry of Planning, Ministry of Labor, Academia, Ministry of Education, Ministry of Science, Private Sector (e.g. manufacturing sector, importers, retailers), Professional Associations (e.g. farmers and agricultural associations), Customs, Port Authorities, Municipal governments (e.g. electricity, mining, statistics), and NGOs. The project will also strongly recommend the formation of permanent inter-ministerial working groups in each country that would facilitate future data collection and amendments under the Stockholm Convention. Countries with established designated Chemical Units (developed through the Special Programme), will include them as part of the national stakeholders coordinating mechanism to streamline national chemical management process.

B.3 Gender Dimensions

In practice, gender mainstreaming means identifying gaps in gender equality using sex disaggregated data, developing strategies to close those gaps, putting resources and expertise into implementing strategies for gender equality, monitoring and implementation and holding individuals and institutions accountable for results. Gender mainstreaming is not an end in itself; it's a process whose goal is to achieve gender equality (Sustainable Development Goal 5).

Gender or vulnerable populations are not explicitly mentioned in the Convention text. Nevertheless, several decisions of the Convention's bodies have referred to gender. For instance, in 2013 the BRS Secretariat released the BRS Gender Action Plan with the vision that "gender equality should be an integral part of the implementation of the Basel, Rotterdam and Stockholm Conventions".

The level of exposure to POPs chemicals and its related impacts on human health are determined by social and biological factors. Women, children and men might be exposed to different kinds, levels and frequency of new POPs chemicals (e.g. in the household, agriculture, industry, school, etc.). The Stockholm Convention Global Monitoring Plan have bio monitored persistent organic pollutants in human milk, in recognition to the fact that women are particularly impacted by the poor management of hazardous chemicals and wastes.

This project aims at contributing to the Stockholm Convention Action Plan through the development and implementation of a gender analysis and a gender strategy with SMART indicators to mainstream gender throughout the project. It's recommended that the focal point of the Stockholm Convention follow a training on gender equality for a better understanding of the topic before working on the strategy. The project will follow the guide on incorporating gender dimensions into national strategy setting in the context of chemicals management (this is a deliverable from ongoing GEF ID 5307 and 5525 umbrella projects for NIP updates). Below are some of the elements that have been considered and will be carried out during implementation:

Project Design

- Include the findings of the gender context analysis;
- Ensure strong stakeholder engagement in design and analysis, including women groups and government departments responsible for women and gender;
- Determine the level of financial resources required for gender-responsive design, implementation, monitoring and evaluation activities;
- Determine the problem in which the gender perspective is reflected. For example, for an objective that is intended to address poor uptake of mercury-free or POPs-free technologies

by occupational workers, a gender aspect to be considered might be the limited capacity of women to adopt these technologies because of low access to education; and

- Use human rights frameworks or other industry guidelines to inform gender issues and ensuring women's rights in project design.

Project Planning and Activities

- Seek gender parity while setting project management unit;
- Ensure a gender-balanced leadership and decision making as well as gender expertise in project planning and implementation, this includes technical teams in various government bodies tasked with developing and implementing the NIP;
- Align project activities with national and regional gender protocols which can be used as benchmarks;
- Build capacity on gender issues among partners and beneficiaries;
- Develop and integrate mechanisms to ensure gender expertise, gender-balanced representation and women's participation in project activities; and
- Capture the voices of women and men, and gender experts and develop gender-sensitive communication plans.

C. Describe the Enabling Activity and Institutional Framework for Project

Implementation (Discuss the work intended to be undertaken and the output expected from each activity as outlined in Table B).

Please refer to Appendix H for Theory of Change

C.1 Work intended to be undertaken and output expected from each activity as outlines in Table B

COMPONENT 1: POLITICAL SUPPORT AND STAKEHOLDER INVOLVEMENT FOR NIP DEVELOPMENT, ENDORSEMENT AND FUTURE IMPLEMENTATION (FUNDED BY PROJECT 10785)

According to the Parties of the Stockholm Convention, the biggest obstacles to influence policymakers are²:

- i. limited technical and financial capacity to generate national evidence-based information regarding the environmental and health hazards associated with POPs;
- ii. limited technical and financial capacity to implement a policy if approved;

² UNEP (2018). From NIPs to implementation: lessons learned report. <https://www.unep.org/resources/synthesis-reports/nips-implementation-lessons-learned-report>

- iii. policymakers' limited understanding of the issues associated with POPs;
- iv. poor cooperation and coordination among relevant stakeholders;
- v. frequent staff changes at the line ministries, including the focal points under the Multilateral Environmental Agreements (MEAs); and
- vi. governmental reforms and slow economic development.

Governments also face several obstacles when engaging with industry and the civil society, including insufficient human and financial resources for outreach to a large number of stakeholders; industry's distrust of government actions on POPs and chemicals management in general; limited or no disclosure about industrial operations, which impedes proactive action on potential pollution affecting society; limited or no financial resources allocated by industry for environmental protection; and poor understanding of the impacts of POPs and other chemicals on human health and the environment.

Many other challenges at the national level lead to less informed decision-making and policies, such as lack of coordination between the line ministries and the national research programmes on policy-related priorities and needs; lack of connection between scientific or technical experts and policy- or decision-makers; lack of or insufficient capacity to understand and assess the national implications of scientific and technical information to support policymaking regarding the Conventions; and lack of cooperation and networking with the regional and global POPs research community.

Therefore, in order to address the challenges identified above, the first component of the project focuses on building and sustaining strong national political support and stakeholder engagement for NIP development, update and future implementation. A solid institutional support is an important pillar for the success completion of NIP and NIP updates. It is also important to link national development priorities with NIP priorities to coherently and effectively achieve the SDGs. Policy makers need to be aware of the cost of inaction and the critical role that POPs data can play on national development as a whole.

Outcome 1: Developed, reviewed and updated NIPs are endorsed by national government and roadmaps are adopted by key stakeholders

Expected Outputs and Activities:

1.1 Parties are engaged and regularly informed on project progress

1.1.1 *Organize thematic workshops and side events, e.g. at the COP, to communicate, in particular to decision-makers, on the project outcomes and outputs, importance of NIPs and lessons learned*

1.1.2 *Identify challenges encountered by participating countries with the final NIP endorsement at the national level based on previous experiences and facilitate the information exchange*

1.2 Draft national legislation or mechanism established and roadmap for adoption developed for POPs data collection and management

1.2.1 *Develop guidance on institutional modalities and procedures for POPs management and NIP endorsement*

1.2.2 *Provide capacity building/training on the development and implementation of a national legislation or mechanism to collect POPs data for NIP review and update and national reporting (including TORs for national mechanism)*

1.2.3 *Collect model legislation adopted by other countries and develop legislation text for participating country's consideration*

1.2.4 *Identify a national roadmap for adoption of the legal text*

1.3 NIPs are successfully linked to national development priorities

1.3.1 *Provide guidance and training on the contribution of the implementation of NIP priorities to the achievement of SDGs*

1.3.2 *Provide guidance and training on the linkage of NIP priorities with SAICM, waste and contaminated sites management strategies, climate change, and biodiversity*

1.3.3 *Raise awareness on the economic cost, risk and vulnerability of inaction (considering the ChemObs approach)*

1.4 Strengthened national and international science-policy interfaces

1.4.1. Develop a strategy to strengthen the national science-policy interface to facilitate, among others, the NIP endorsement (consistent with the SC programme on “From Science to Action”)

1.4.2. Develop and deliver a training on the role of the NIP at national level and different uses of POPs data compiled

COMPONENT 2: DEVELOPMENT OF NIP REVIEW/UPDATE SYSTEM AND RELATED TOOLS; CAPACITY BUILT TO USE THEM (FUNDED BY PROJECT 10785)

Based on previous NIP development and update experiences, there is a range of challenges regarding technical capacity on POPs inventory and management³:

- i. Difficulties in identifying POPs present in products and articles;
- ii. Lack of chemical-specific Harmonized System (HS) codes;
- iii. Lack of capacity and resources to monitor compliance at border entry points and to identify and test chemicals, mixtures, products and wastes;
- iv. Lack of training for custom officers and, in some cases, not enough human resources for effective customs control and no capacity building opportunities; and
- v. Lack or limited coordination among the different key government actors.

Some Parties are still having difficulties controlling the POPs in use throughout their life cycle, the main issues observed are lack of capacity for chemical detection and analysis, including lack of equipment and training opportunities; limited bilateral and multilateral cooperation; poor implementation and effectiveness of the legal framework; lack of research on new POPs at the national level; lack of incentives for manufacturers, importers and others working along the life cycle of POPs to prevent environmental releases; lack of trained personnel; lack of laws and regulations regarding registration of industrial chemicals; lack of a registration system for industrial chemicals; lack of incentives for importers and manufacturers to shift to alternatives, and; improper handling, storage and disposal of chemical substances.

Many countries specifically expressed that they lack the capacity for controlling and monitoring the products available on the market that may contain POPs. Some countries mentioned institutional problems such as a lack of coordination among ministries on the life cycle management of POPs. Several countries also reported lacking a funding mechanism for end-of-life management. Also, most countries reported that they have not yet started managing contaminated sites, due to challenges

such as: limited or no capacity to assess and secure contaminated sites; lack of databases or other such systems for inventorying contaminated sites in most developing countries; lack of analytical capacity in developing countries for assessing sites contaminated with (new) POPs; weak or lacking regulatory frameworks for defining contaminated sites (e.g. limits for POPs in soil or groundwater); and limited availability of best practice case studies of contaminated sites.

Besides the challenges described above, there have been also positive developments for data management. There are three ongoing and similar initiatives related to data management in the Pacific, the Pacific Environment Portal (PEP, see <https://pacific-data.sprep.org>), the Pacific Data Hub (PDH, see <https://pacificdata.org>) and Caribbean Regional Centre (UNIDO, GEF 5558). The purpose is to establish regional data portals with the BCRCs and SCRCs as the collation points for the data collected in the NIP updating projects in their respective regions. The objective is to improve regional data management practices, safely and effectively retain already collected data, and support evidence-based policymaking. This could be replicated in all SC Regional Centres.

Specifically for data analysis, the geovisualisation of NIP inventories developed by other countries working with UNEP is already available at the MAPx. One of the founding principles was to equalize information held by different stakeholders as a prerequisite to better dialogue, decision making and monitoring platform (<https://www.mapx.org/about/>). The platform has been a useful data management tool and is now being upgraded to allow risk assessment and action plan prioritization. The objective is to facilitate decision making by national and international stakeholders. Participating country's inventories will also be translated into specific formats and uploaded in the MAPx platform to facilitate prioritization. Data will still belong to participating countries. Only UNEP, participating countries and the (EA) will have access to the uploaded data, unless it's decided otherwise by the participating countries.

In summary, the process of reviewing and updating the NIPs can be challenging for Parties that lack adequate resources and technical capacity. Parties have expressed the need for assistance, particularly with addressing newly listed POPs that are widely used for industrial purposes and contained in products and articles. Therefore, this component aims at ensuring proper and accurate

³ UNEP (2018). From NIPs to implementation: lessons learned report. <https://www.unep.org/resources/synthesis-reports/nips-implementation-lessons-learned-report>

data collection, management, analysis, application and implementation to strengthen the validity and sustainability of information collected in the NIP and NIP update projects.

PFHxS, its salts and PFHxS-related compounds, currently under review and have already been recommended by the POPRC to be listed as part of the Convention, will be included as part of the tools development, research and training processes.

Outcome 2: Strategic approach used and capacities built lead to timely NIP development, review and update

Expected Outputs and Activities:

To address the barriers toward data collection and other assessments, the following outputs and activities are proposed:

2.1 Methodologies for POPs inventory and other assessments needed for NIP development are available and user friendly; can be easily accessed; and sectoral approaches to POPs inventories are explored

2.1.1: Explore and pilot test sectoral approaches to POPs inventories for selected groups of chemicals

2.1.2: Support the transition of existing methodologies for POPs inventory development and tracking to an user friendly format (taken into consideration the shortcomings faced by countries)

2.1.3: Develop user friendly methodologies and tools (specially virtual tools) for socio-economic assessment, the integration of gender (using the UNEP gender guide) in the NIP update and track POPs management over time

2.2 Report on the global production, use and trade of newly listed chemicals developed

2.2.1: Develop a global report on the production, use and trade of newly listed chemicals (including PFHxS, its salts and PFHxS-related compounds) and a section on how to access the relevant international databases and statistics

2.2.2: Prepare a report on the available POPs data or data relevant for POPs estimations produced by international statistics and develop a gap analysis for NIP review and update

2.3 National expertise to review and update the NIP is built

2.3.1: Develop and deliver training/webinars on the methodologies/reports developed or others already available necessary for the NIP review and update

2.3.2: Provide dedicated training on the interlinkages with Stockholm Convention national reporting requested POPs data and the use of the integrated electronic toolkit

2.3.3: Develop a guiding methodology for strengthening the collaboration with national statistical offices as to address the identified gaps related to POPs data or relevant information supporting POPs data estimates (e.g. EEE/WEEE, vehicles in imported/in use/ELVs etc.)

2.3.4: Develop and deliver a training to improve the production of national statistics relevant to the POPs data for NIP review and updating

To address the barriers toward data management, the following outputs and activities are proposed:

2.4: Standard structure for national data management system identified and increased cooperation and coordination among different stakeholders owning data

2.4.1: Develop a standard structure for POPs data management at national level

2.4.2: Develop a regional data management hub at the Regional Centres or the SC clearinghouse to cover the gaps/complement the national data management systems/ensure consistency between granular data at the national level

2.4.3: Develop a strategy for national adoption on medium and long term strengthening of the data management systems

2.4.4: Raise awareness on the use of big data to risk assessment and priority setting

To address the barriers toward data analysis, compilation and validation, the following outputs and activities are proposed:

2.5: Strengthened capacity to use POPs inventory and monitoring data

2.5.1: Assess GMP data in combination with the national POPs inventories to identify priority chemicals for which action plans are to be developed and included in the NIP in each country

2.5.2: Compile capacity gap and provide technical support to national or regional laboratories to sample and analyse the chemicals of interest identified in the activity 2.5.1 (data validation)

2.5.3: Training to policy makers on how to interpret and make use of the POPs inventory and monitoring data

2.5.4: Training on NIP inventory structure and information to be reflected in its chapters (both qualitative and quantitative)

2.5.5: Develop guidance and training on implementation of QA/QC system for POPs data validation

To address the barriers toward NIP implementation, the following outputs and activities are proposed:

2.6: Parties are informed on how to access alternatives to POPs to reduce/eliminate their presence in articles/products and implement BAT/BEP to reduce uPOPs emissions

2.6.1: Provide training on the available guidance documents on alternatives to POPs and BAT/BEP and compile information on the challenges faced by countries in accessing alternatives to POPs to reduce/eliminate their presence in articles/products and implementing BAT and BEP to reduce uPOPs emissions

2.6.2: Develop a step by step approach on how to access alternatives to new industrial POPs and implement BAT and BEP to reduce uPOPs emissions (through, among others, collaboration with Green Customs Initiative – informal partnership of international organizations cooperating to prevent the illegal trade in environmentally sensitive commodities and substances covered by relevant MEAs)

2.7: Strengthened capacity for action plan costs development

2.7.1: Training on calculation of the action plan costs development and technical with clear roadmaps for implementation

2.7.2: Training on the LIRA Guidance and identification of measures that can be considered in the NIP implementation

2.7.3: Build capacity on NIP priority setting

2.8: Strengthened capacity to fundraise internally and externally for NIP implementation

2.8.1: Develop and deliver a training on fundraising for NIP implementation

2.9: NIP quality is checked and final document is validated

2.9.1: Develop a framework/check list for final NIP quality check and validation

2.9.2: Make recommendations and provide technical support to countries to ensure the reviewed NIP achieve the standard defined in activity 2.9.1

2.9.3: Validate the final NIP

COMPONENT 3: NIP DEVELOPMENT, UPDATING, ENDORSEMENT AND SUBMISSION TO THE SC SECRETARIAT

Component 3 is the only national component of the project. The executing agencies, in close coordination with the National Coordination Mechanisms (NCMs) in participating countries, will follow the 5 step NIP development/update procedure established in previous NIP/NIP update projects. Countries will also conduct a review of past and ongoing interventions so that inventories developed from this project will take into account chemicals that have already been managed and disposed. For countries without an existing NCM in place, a new mechanism will be established. Each step, as described below, is supported by the global component as well.

PFHxS, its salts and PFHxS-related compounds, that have already been recommended by POPRC to be listed as part of the Convention, will be included in the inventory review and update processes in each country.

Outcome 3: Parties are compliant with Article 7 and 15 of the Stockholm Convention

Expected Outputs and Activities:

3.1 Developed or updated NIPs are endorsed by national stakeholders and submitted to the SC Secretariat

3.1.1 Complete NIP development or update procedure (including review of past/ongoing interventions so that inventories developed through this project will take into account the chemicals that have already been managed and disposed)

Step 1: Establishment of NCM and organization of process (supported by Component 1)

Step 2: POPs inventories and assessment of national capacity (supported by Component 2)

Step 3: Priority assessment and objective setting (supported by Component 2)

Step 4: Formulation of NIP (supported by Component 2)

Step 5: NIP endorsement and submission (supported by Component 1)

3.2 National reports submitted to the SC Secretariat

3.2.1 Consultation and coordination with key national stakeholders to collect data for national reporting within the NIP development and update process

NIP development or update

The NCMs of participating countries will be reinstated and complemented by additional stakeholder and ministries dealing with new POPs. The EAs will work together with the newly established and gender balanced NCMs to develop its terms of reference for the implementation of the project. This will include the establishment of working groups; assignment of responsibilities amongst government departments; a mechanism for the continuous identification of other relevant project stakeholders; evaluate and access the progress of the project; and provide advice, policy and institutional guidance to the project. In this regard, relevant governmental institutions will be requested to allocate the necessary human and technical resources to support project implementation through the NCMs of participating countries where it does not already exist. All responsibilities, timelines and budgets will be clearly spelled out by the EAs in order to guarantee the fast, safe and accurate execution of the project.

One national inception workshop will be held in each country, to raise awareness of the project on reviewing and updating the NIP amongst the widest possible range of stakeholders (government institutions, industry and industrial associations, NGOs, university, etc.) and to get a full understanding of the integrated approach needed for the NIP review and update, governmental endorsement, and submission to the Secretariat of the SC.

The integrated approach will involve the assignment of responsibilities among government representatives, stakeholders and project participants. The principal output of the inception workshop is to establish buy-in and commitment of high-level participants in the NIP update process and

subsequent endorsement as required by the SC (supported by Component 1). The workshop will also focus on the discussion and endorsement of the project workplan, budget, confirmation of the project institutional arrangements, assessment of national capacities for project implementation and development of capacity building plan, development of a national communication strategy throughout the project implementation, the development of a national gender analysis and a strategy to integrate gender dimensions, identification of potential risks to the project implementation and development of a mitigation strategy at the national level.

NIP development/NIP update will initiate with a desk review of available information on health and environmental impacts of POPs, level of information and awareness on POPs, existing programmes for monitoring POPs releases and environmental and human health impacts, and relevant activities of NGOs on POPs in participating countries, technical infrastructure for POPs assessment, measurement, analysis, alternatives and prevention measures, research and development, technical infrastructure for POPs management and destruction, existence of relevant system for the assessment and listing of new chemicals, existence of relevant system for the assessment and regulation of chemicals already in the market will also be developed as part of the national profile. The draft country profile and POPs inventory reports will be submitted to UNEP for review and to the NCMs for comments and approval.

Based on the POPs profile developed, in consultation with the working groups and the guidance of the EA and global component team, the NCMs will develop criteria for prioritizing the mitigation (and where feasible, the elimination) of the health and environmental impacts of POPs. Based on these criteria, priority issues to address the management of new POPs and a set of objectives to guide preliminary country-specific activities relevant to new POPs will be developed. This step will consider and adjust, where necessary, the POPs priority areas outlined in the original NIP. It is expected that the prioritization exercise will consider participating country's sustainable development priorities.

The working groups and national experts will be the main actors in this component under the guidance of the EAs and the global component team. They will gather relevant data to establish a solid baseline for priority review setting and report under SC. This process would also assess the effectiveness, efficiency and progress of the NIP implementation process thus far. As mentioned earlier, to guide the conduction of the NIP review and updating a set of guidelines have been developed or are under development by the SC Secretariat and will be used in this project. Note that some guidelines and tools may be translated in user-friendly versions in Component 2.

Some of the existing main guidance documents include:

- The SC Secretariat developed guidelines for reviewing and updating the NIPs, including a GEF project 4410 (UNIDO) on "*Development of the Guidelines for updating of the National Implementation Plans under the Stockholm Convention taking into account the new POPs*

added to the Convention". The guidelines, among others⁴, include a step-by-step approach on how to conduct inventories on POP-PBDEs (tetra-, penta-, hexa-, hepta- and decaBDEs), HBCD, HCBD, PCP, its salts and esters, PCNs, SCCPs and PFOS, its salts and PFOSF. These draft guidelines have undergone peer review and pilot testing and are already in the final stages of completion. The guidelines are also revised periodically the SC Secretariat.

- The draft guidance on socio-economic assessment for national implementation plan development and implementation under the SC (UNEP/POPS/COP.3/INF/8, revised 2017) and draft guidance on calculation of action plan costs, including incremental costs and action plans for specific persistent organic pollutants (UNEP/POPS/COP.4/INF/11, revised 2017) will also be applied. The socio-economic assessment will identify and describe any gender differences, gender differentiated impacts and risks, and opportunities to address gender gaps and promote the empowerment of women.
- The revision of the legal framework and institutional infrastructure will follow the guide "Developing National Legal Frameworks to Implement the Stockholm Convention on Persistent Organic Pollutants"⁵ of 2011.
- Draft Guide on incorporating gender dimensions into national strategy setting in the context of chemicals management – developed by UNEP, Chemicals and Health Branch.

The NIPs/updated NIPs will take into consideration the recommended NIP elements as provided in Annex 10 of the Guidance document for developing a NIP for the Stockholm Convention - "*Guidance for Developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants*"⁶. In addition, use of the integrated toolkit (GEF ID 9884) will be required for all participating countries in this project on the electronic submission of finalized NIPs.

Finally, the NIP update drafting will build on lessons learned from the development of the original NIPs. The action plans will be the main components of the reviewed and updated NIPs in order to meet the requirements of eliminating or phasing out POPs under the SC.

One national priority validation workshop will be held in each country, to validate the proposed criteria, national objectives and priorities for POPs management. Discussions in the validation

⁴ The conduct of POPs pesticides inventories can also be guided by developed FAO technical guidance and manuals (2009-2011).

⁵ <http://chm.pops.int/TheConvention/LegalMatters/LegalMattersAdditionalResources/tabid/2245/Default.aspx>

⁶ <http://chm.pops.int/Implementation/NationalImplementationPlans/Guidance/tabid/7730/Default.aspx>

workshops will inform how the criteria and priorities are tailored to the specific needs of participating countries and used to draft specific action plans for the NIPs that will be prepared with estimated costs for execution, timelines and responsible agencies identified. These action plans will be the basis for developing post-NIP projects. The Draft guidance on calculation of action plan costs, including incremental costs and action plans for specific persistent organic pollutants (UNEP/POPS/COP.4/INF/11 (revised 2017))⁷ will be applied.

Guidance on POPs alternatives⁸; BAT/BEP⁹ ; control of the import and export of POPs under the SC; and labelling of products and articles that contain POPs¹⁰ will also be considered when relevant.

The global component team will review and comment on the draft NIP (Activity 2.9.2) using the checklist (developed in Activity 2.9.1) considering the recommendations set out in the SC, revised guidance documents and tools. The comments will be submitted to the NCMs, UNEP and all relevant stakeholders for their feedback and written comments. Written comment submissions will be gathered and validated by the EAs (Activity 2.9.3) and be considered for the final draft NIP. EAs will subsequently work with the NCMs to produce the final draft NIP. Note that the EAs will attend national inception and validation workshops for reviewing and finalizing the NIP.

A one-day endorsement workshop will be held in each country for all relevant governmental bodies and stakeholders to review and endorse the final updated draft NIPs. The workshop will also aim to seek high-level commitment for the early implementation of the NIP. The endorsed NIPs will be submitted by the countries Official Contact Points/National Focal Points to the SC Secretariat for transmission to the COP. The reviewed and updated NIPs will be published on the website of the Stockholm Convention as well as various relevant government websites.

⁷ <http://chm.pops.int/Implementation/NationalImplementationPlans/Guidance/tabid/7730/Default.aspx>

⁸ <http://chm.pops.int/Implementation/NationalImplementationPlans/Guidance/tabid/7730/Default.aspx>

⁹ <http://chm.pops.int/Implementation/NationalImplementationPlans/Guidance/tabid/7730/Default.aspx>

¹⁰ <http://chm.pops.int/Implementation/NationalImplementationPlans/Guidance/tabid/7730/Default.aspx>

National Reporting

Per Article 15 of the Convention, each Party shall report to the COP on the measures it has taken to implement the provisions of the Convention and on the effectiveness of such measures in meeting the objectives of the Convention. Each party shall provide to the Secretariat, every 4 years, the following:

- (a) Statistical data on its total quantities of production, import and export of each of the chemicals listed in Annex A and Annex B or a reasonable estimate of such data; and
- (b) To the extent practicable, a list of the States from which it has imported each such substance and the States to which it has exported each such substance.

Since many Parties have been facing difficulties in transmitting, accessing and using data contained in the NIPs, and due to lack of explicit link between NIPs and national reports, the quality of national reporting has not been optimal or was missing in the last several rounds. In order to provide support to the Parties of the Convention, the electronic toolkit, scheduled to be released by the end of 2021, aims to improve national reporting. Its objective is to assist Parties in fulfilling their reporting obligations that will in turn increase NIPs implementation and lead to reduced POPs emission in the long term. The toolkit will include several modules:

- NIP submission module: organize data and information in a template for initial or updated NIPs submissions. The template will use checklist or sets of questions based on the relevant obligations under the Convention to assist Parties to assess whether or not they need to update their NIP
- POPs inventory module: present the inventory guidance documents in an electronic and user-friendly manner
- Guidance module: contain contextualized links to relevant guidance documents and other toolkits, including manual on national reporting
- Queries module: query data and information submitted in the POPs inventory module and NIPs submission module

In summary, the project will utilize the electronic toolkit to improve the quality of national reporting from participation countries. It will provide support to countries to ensure that the access, usage and functionalities of the toolkit are fully understood and operational.

COMPONENT 4: KNOWLEDGE MANAGEMENT AND INFORMATION SHARING (FUNDED BY PROJECT 10785)

The SC strongly promotes the participation and involvement of the public in the preparation and implementation of NIP-related activities as a major driving force for initiating environmental health improvements. The project seeks public participation by consulting those potentially affected by the production, use and management of new POPs. Public awareness and public education materials on POPs will be developed for participating countries to inform and improve the general public awareness on planned activities and achieved results of the project in a timely manner. In addition, this component will develop tools for participating countries to conduct outreach and consultation with major stakeholder groups, especially the private sector as heavy users of POPs, to ensure their participation in the management of POPs on the national level. The EA for this component will liaise with NCM in each participating country and provide country specific guidance and assistance on dissemination, outreach and private sector engagement. A knowledge management and information sharing strategy will be developed for each country, in coordination with the BCRCs-SCRCs and include regional priorities as well.

In addition to national dissemination and outreach support, knowledge, guidance, experience and tools generated from the project (components 1 and 2) will be managed, proof-read (organization of the peer review process if necessary) and published through this component. Materials will also be delivered as trainings to target countries (per proposed schedule in Table 7 below) and made available to all parties of the Convention through the knowledge sharing platform (either new or re-invention of existing portals) as part of the BRS website. The integrated electronic toolkit (GEF ID9884) will be rolled out to the participating countries and contain all the information and resources (including the ones developed through this project) that Parties need to develop and update their NIPs. This main objective of this component is to ensure that all Parties benefits from the deliverables and lessons learned. All materials will be translated into the six official UN languages.

Furthermore to the annual trainings planned for the target countries, quarterly webinars will also be organized in each region to update national stakeholders on project progress, identify regional trends and facilitate countries to work collectively in developing implementation projects. Each webinar will be technically led by the BCRCs-SCRCs and focus on a chemical/group of chemicals of the region so countries have the opportunity for peer learning and share applicable solutions and successes/failures in inventory exercises and implementation challenges.

Besides the responsibilities of organizing trainings and webinars in this component, the EA will also lead in the knowledge products/materials preparation on presenting project results either in person or in written form at the COP12 scheduled for 2025 (last year of the project). Knowledge products

such as brochures, booklets and videos will be included as part of the preparation. The COP will serve as an excellent opportunity to disseminate information and lessons learned from the project to all Parties of the Convention.

Outcome 4: Knowledge sharing led to improvement in the NIP development, update and implementation processes

Expected Outputs and Activities

4.1: New knowledge products and tools are developed and disseminated to target countries and all Parties to the SC

4.1.1: Insert report findings, methodologies and tools (from components 1 and 2) in the integrated electronic toolkit to facilitate NIP review and update (in 6 official UN languages)

4.1.2: Development of tools for outreach and consultation with major groups and stakeholders, particularly the private sector to be customized by Parties

4.1.3: Provide country specific assistance on outreach and information dissemination including development of a strategy per target country

4.2: Knowledge platforms at the regional and global levels established and operational

4.2.1: Consult with the BRS Secretariat on the strengths and weaknesses of the existing information sharing methodologies and approaches

4.2.2: Develop a blueprint for the proposed knowledge platform at both regional and global levels suitable for the proposed project, including linkages to the integrated electronic toolkit

4.2.3: Upon approval of UNEP and BRS Secretariat, establish the new knowledge platform at both regional and global levels

4.2.4: Provide country/regional specific (for both target countries and other Parties to the SC) training and information webinars to ensure that all Parties understand the purpose and functionalities of the platform at regional and global levels

4.3: Knowledge transferred and information exchange using communities of practice and online training/webinars on key issues

4.3.1: Organize quarterly webinars in each region with a focus on regional priorities (technical topics to be led by BCRCs-SCRCs)

4.3.2: Updated project information, guidance and tools are successfully delivered as trainings to target countries and shared with the Communities of Practice of SC clearinghouse mechanism (or re-invention of)

4.3.3: Involve in preparation for presentation of project results at COP meetings

Training workshops on the initial and new POPs inventory methodology, link to SC reporting, along with the additional training on tools/guidance to be developed/revised in components 1 and 2 will first be organized at the global level (face to face trainings will be associated with the COPs) and in alternative years via virtual platforms. Table 7 below describes the proposed training schedule. The EAs and country focal points will be capacitated to provide subsequent additional support if necessary and on a country by country basis.

Table 7. Proposed training/presentation schedule and associated outputs:

The participation in the training programmes will be coordinated with global components based on the approval dates of the addendum project.

Virtual (2022)	COP11 (2023)	Virtual (2024)	COP12(2025)
Output 1.2 establish a national coordinating mechanism for POPs management NIP endorsement	Output 2.5 technical support on data validation; interpretation of POPs monitoring data	Output 2.9 NIP validation, endorsement and transmission processes Output 3.2 national reporting process	Presentation of project results as part of Component 4 on information sharing and dissemination
Output 2.1 inventory methodologies, including sectoral approaches			

<p>Output 1.3 proposed legal text to managing POPs data and its adoption</p> <p>Output 2.3 electronic toolkit and national reporting process and procedures; improve production of national statistical data on POPs</p>	<p>Output 2.6 access to alternatives and BATs/BEPs</p>		
<p>Output 1.4 different uses of POPs data</p> <p>Output 2.4 raise awareness and standard for national POPs data management; establish regional data hub</p>	<p>Output 2.7 capacity for action plan costs development; priority setting</p>		
	<p>Output 2.8 fundraising for NIP implementation</p>		

COMPONENT 5: MONITORING AND EVALUATION

Periodic monitoring will be undertaken to ensure the timely implementation of project activities. This is a joint responsibility of UN-Environment Programme and EAs. Any changes to the workplan will be done in accordance with the approved Project Document and [GEF document C.59/Inf.03](#).

Day-to-day project management and monitoring will be the responsibility of the EA through the PM. The project monitoring will start with the inception workshop and the development of a detailed work plan, budget and detailed monitoring and evaluation plan with key stakeholders. The EA will develop and submit to UNEP technical reports biannually and financial reports every quarter describing the progress according to the work plan and budget, identifying obstacles occurred during implementation and the remediation actions to be taken.

UNEP will monitor the project progress according to the work plan on a regular basis to provide guidance to the EA, support implementation and ensure that any obstacles pertaining to the project are addressed in a timely manner. Yearly, during the GEF PIR, UNEP will provide information about the status of the project implementation and the disbursements made.

Quarterly progress reports will track the project implementation progress towards the expected objectives. These reports will focus on the timelines and quality of achieved outputs; highlight issues requiring decisions and actions, and present initial lessons learned about project design, implementation and management.

Monthly calls between the EA and the IA will be agreed upon if the project is not progressing according to the work plan.

The terminal report and final statement of accounts developed by the EA at the end of the project closes the EA monitoring activities for this project. The final financial audit will review the use of project funds against budget and assess probity of expenditure and transactions. The final audit is to be developed by an independent audit authority (a recognized firm of public accountants or, for governments, a government auditor). The final audit is to be sent to UNEP up to six months after the technical completion of the project.

Templates for the quarterly progress and financial report, terminal report and final statement of accounts will be provided by UNEP. There is no template for the final financial audit.

An independent terminal review (TR) will take place at the end of project implementation, latest 6 months after completion of the project. An independent consultant will be responsible for the TR and liaise with the UNEP Task Manager at the Chemicals and Health Branch of the Economy Division throughout the process. The TR will provide an independent assessment of project performance (in

terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements; and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and executing partners – EA in particular. The direct costs of the review will be charged against the project review budget. The TR report will be sent to project stakeholders for comments. Formal comments on the report will be shared by the independent consultant in an open and transparent manner. Project performance will be assessed against standard review criteria using a six-point rating scheme. The final determination of project ratings will be made by the independent consultant when the review report is finalised. The review report will be publicly disclosed and will be followed by a recommendation compliance process.

Outcome 5. Project successfully implemented with satisfactory performance

Expected Output and Activities:

5.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF

5.1.1 EA develops and submit quarterly technical and financial reports to UNEP using UNEP's templates

5.1.2 UNEP communicates project progress to the GEF yearly during the PIR using GEF's template

5.1.3 Develop and submit terminal report and final statement of accounts to UNEP at project end

5.1.4 Submit final financial audit to UNEP

5.2 Independent terminal review conducted and made publicly available

5.2.1 Independent consultant carries out the terminal review upon the request of the UNEP Task Manager and make it publicly available in the UNEP website

C.2 Institutional Framework for Project Implementation

Implementing Agency (IA): This project will be implemented by UNEP and regionally, executed by EA i.e. Africa Institute, SCRC South Africa. As Implementing Agency, UNEP will be responsible for the overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including on technical issues.

Executing Agency (EA): The Executing Agency for the project is Africa Institute, Stockholm Convention Regional Centre (SCRC), South Africa. The EA will execute, manage and be responsible for the project and its activities on a day-to-day basis. It will establish the necessary managerial and technical teams to execute the project. It will search for and hire any consultants necessary for technical activities and supervise their work. It will organize independent audits in order to guarantee the proper use of GEF funds. Financial transactions audits will be carried out in accordance with EA regulations. EA will provide regular administrative, progress and financial reports to UNEP.

National Coordination Mechanisms (NCMs): The National Coordination Mechanisms established for the first NIPs will steer this project (when applicable). It may be necessary however, to include additional stakeholder representatives and ministries dealing with new POPs, especially stakeholders involved in import and export of articles containing new POPs, and stakeholders from industry sectors affected by regulations on production/disposal of waste and articles containing new POPs. The ToRs for revised NCMs will be developed at the inception meetings.

UNEP Chemicals and Health Branch: This is the UNEP Branch in charge of working closely with governments, industry and civil society organizations around the world to develop mainstream solutions for the sound management of chemicals. The Branch has technical expertise and experience to reinforce the quality of the project outputs; the project cost-efficiency; and strengthen project sustainability. A focal point at the Branch will be available to provide ongoing technical support to EAs throughout the whole project.

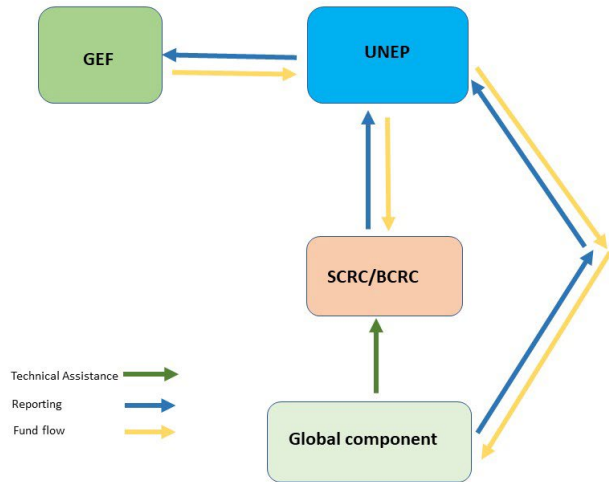


Figure 2: Institutional framework for project implementation at the international level (components 1,2 and 4) (funded through project 10785)

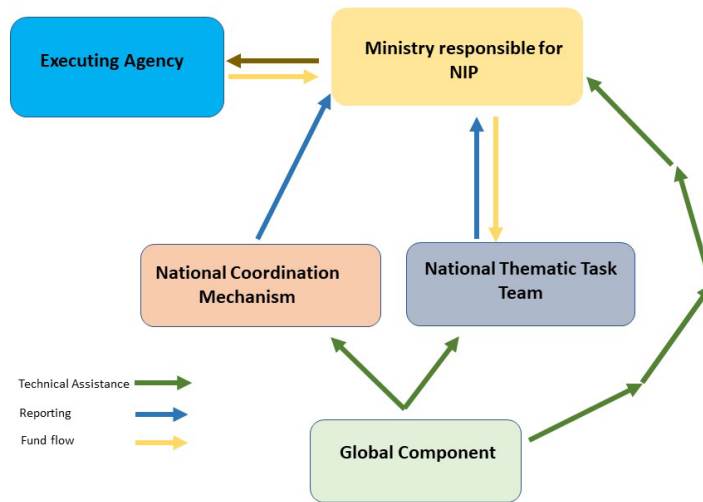


Figure 3: Institutional framework for project implementation at the national level (component 3)

D. Describe, if possible, the expected cost-effectiveness of the project:

NIP development and update activities will be supported by the current existing capacities and expertise in participating countries put in place during the initial NIP development (and any post NIP projects) with support from UNEP as the GEF IA and EA (SCRC). For countries that are conducting NIP for the first time, a new NCM will be established. Cost-effectiveness will be achieved through fully utilizing the infrastructures and human resources available through EAs.

Other than the global component, the involvement of the international experts is limited to tasks that could not be accomplished by national consultants, in this situation, regional experts will be identified in the available roster developed during previous projects. Suitable qualified national consultants will be identified locally. This will reinforce the national capacity to manage POPs chemicals and contribute to the cost-effectiveness of the project through reduced consultancy fees and travel expenses.

EA's coordinators and UNEP's Task Manager will ensure that only essential travel is undertaken and that where possible videoconferencing/Skype conference calls are utilized. For essential travel, EAs will endeavour to maximize resources allocated for travel for workshops and necessary consultations by booking in advance and travelling during low season where possible. Since regional centres will only focus on countries in their region, costs and environmental impact related to travel should be minimized. In addition, regional trainings will either be associated with planned COP meetings or conducted online via virtual platforms, therefore, funding related to meeting organization and travel should also be effectively reduced.

E. Describe the budgeted M&E Plan:

The project will carry out periodic monitoring by IA and EA to ensure the timely implementation of project activities. Project manager will be responsible for day-to-day monitoring and a detailed work plan, budget and detailed monitoring and evaluation plan will be finalized during the inception phase in consultation with key stakeholders. The EA will submit quarterly financial and progress reports necessary reports to UNEP including challenges faced and remediation plan in place. Periodic calls between the EA and the IA will be agreed upon if the project is not progressing according to the work plan. The terminal report and final statement of accounts developed by the EA at the end of the project closes the EA monitoring activities for this project. The final financial audit will review the use of project funds against budget and assess probity of expenditure and transactions. An independent terminal review (TR) will take place at the end of project implementation, latest

6 months after completion of the project. More detailed information about project monitoring and evaluation can be consulted in the project Component 5 - monitoring and evaluation.

Table 8. Monitoring and Evaluation Budget

M&E activity	Purpose	Responsible Party	Budget (US\$)	Time-frame
National inception workshop	<ul style="list-style-type: none"> • Awareness raising; • Build stakeholder engagement; • Development of Implementation Plan. 	EAs	\$0	Within two (2) months of project start
Inception report	Provides implementation plan for progress monitoring	EAs	\$0	Within four weeks of the Inception Workshop
Project Supervision and Monitoring	Technical and Administrative support provided on a regular basis ensuring that the project is being carried out according to the agreed work plan and budget	EAs	\$0	Regularly
Technical Progress reports	Describes progress against annual work plan for the reporting period and provides activities planned for the next period	EAs	\$0	Quarterly
Financial Progress reports	Documents project expenditure according to established project budget and allocations	EAs	\$0	Quarterly
Project Review by NCMs	<ul style="list-style-type: none"> • Assesses progress, effectiveness of operations and technical outputs; • Recommends adaptation where necessary and confirms implementation plan. 	EAs	Back to back with inception meeting and validation workshops	Month 1 or 2, 12, 24, 36, and 42
Terminal report	<ul style="list-style-type: none"> • Reviews effectiveness against implementation plan; • Highlights technical outputs; • Identifies lessons learned and likely design approaches for future projects; • Assesses likelihood of achieving project outcomes. 	EAs	\$0	Three months after the end of project implementation (Month 45)

Independent Terminal Review	<ul style="list-style-type: none"> • Reviews effectiveness, efficiency and timeliness of project implementation, coordination mechanism and outputs; • Identifies lessons learned and likely remedial actions for future projects; • Highlights technical achievements and assesses against prevailing benchmarks. 	UNEP – Economy Division, Independent external consultant	\$6,000	Six months after the end of project implementation (Month 48)
Independent Financial Audit	Review use of project funds against budget and assesses probity of expenditure and transactions.	EAs	Under PMC	Three months after the end of project implementation (Month 45)
Total indicative Monitoring &Evaluation cost			\$6,000	

F. Explain the Deviations from typical Cost Ranges (where applicable):

Parties to the SC typically can request up to \$250,000 for each NIP update conducted. This project is an extension of the global NIP project (GEF ID 10785). The project budget is designed to align with the recently approved global NIP project including country allocation of USD 294,000 + 12,300 per country PMC. In addition, USD 5000 per country was added for the expert review of NIPs and is incorporated in Component 2. The design of the proposed project will benefit from a very robust and comprehensive global component from project 10785. UNEP gathered the lessons learned and experiences accumulated from previous and existing global and nationally executed NIP projects to formulate the alternative scenario for the proposed project. Consultations have also taken place with other IAs who are working on NIP and NIP updates and the BRS secretariat to ensure that the identified challenges and barriers will be appropriately addressed with a wholistic approach to reduce the dependency on international expertise and resources to conduct future NIP updates. As the addendum projects will coordinate with and participate in the global component activities, justification provided below are identical to project 10785.

Release of the integrated electronic toolkit will be an integral part of the proposed project for the 3 participating countries, this will be done in coordination with Global project (GEF ID 10785). As a participating requirement, the global component will provide support and ensure that all target countries access, upload and integrate data from their previous NIP and NIP update reports through the toolkit.

Given the geographically balanced group of countries that will be involved in this project, including BCRCs-SCRCs as executing agencies, national and regional capacities will be increased dramatically through proposed project interventions.

Therefore, the below justification is provided for additional funding request towards the global component in order to minimize decrease in funding at the national level:

- Additional training can be organized and provided in a systematic manner to participating countries focusing on identified challenges from past NIP update experiences;
- Additional tools and guidance can be developed, in consultation with BRS Secretariat, to ensure its timely release and can get immediate feedback from participating countries:
 - o Opportunity to develop sectoral approach to POPs inventories;
 - o Opportunity to include PFHxS, its salts and PFHxS-related compounds, currently being recommended by the POPRC to be listed as part of the Convention, as part of the national NIP inventory;
 - o Opportunity to produce a global/regional report on the production, use and trade of new chemicals and products under the SC, including PFHxS, its salts and PFHxS-related compounds;
 - o Opportunity to establish regional data hubs to ensure sustainability in data management;
 - o Opportunity to establish standard structure for national data management system;
 - o Opportunity to inform Parties on their access to alternatives to POPs and implement best BAT/BEP to reduce uPOPs emissions;
 - o Opportunity to strengthen capacity for costed action plan development;
 - o Opportunity to strengthen capacity to fundraise for NIP implementation; and
 - o Opportunity to provide final quality check of the NIP update.
- Lessons learned from NIP update processes and sample roadmap for legal text adoption can be widely shared among participating countries;
- Project results benefit all Parties of the SC as all tools and guidance will be integrated into the Clearinghouse or a re-invention, of the BRS website including the use of BRS toolkit for NIP submission and reporting;
- Opportunity to organize the meetings and trainings along the margins of the COP, therefore minimize on meeting costs, create greater impact and visibility with high participation from countries (even outside of the project); and
- Opportunity to provide travel support to COP meetings either to extend the stay of focal points or an extra participant.

part iii: Endorsement/Approval by gef operational focal point(s) and GEF agency(ies)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT(S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the *Operational Focal Point endorsement letter(s)* with this template).

NAME	POSITION	MINISTRY	DATE (Month, day, year)
Kasahun Wakoya Nikusa, Ethiopia	GEF Operational Focal Point	Environment, Forest and Climate Change Commission	April 4, 2022
Shamiso Najira, Malawi	GEF Operational Focal Point	Environmental Affairs Department	November 29, 2021
Godwin Fishani Gondwe, Zambia	GEF Operational Focal Point	Ministry of Green Economy and Environment	December 10, 2021

B. CONVENTION PARTICIPATION

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yyyy)	NATIONAL FOCAL POINT
Stockholm Convention - Ethiopia	09/01/2003	Mr. Mr. Girma Gemechu Kenne
Stockholm Convention - Malawi	27/02/2009	Ms. Caroline Theka
Stockholm Convention - Zambia	07/07/2006	Mr. Chrispine Simwanza
Basel Convention - Ethiopia	12/04/2000 (accession)	Mr. Abate Getnet Demisash
Basel Convention - Malawi	21/04/1994 (accession)	Ms. Victoria Kachimera
Basel Convention - Zambia	15/11/1994 (accession)	Ms. Perine Nkosi Kasonde
Rotterdam Convention - Ethiopia	09/01/2003 (accession)	Mr. Abate Getnet Demisash
Rotterdam Convention - Malawi	27/02/2009 (accession)	Ms. Caroline Theka
Rotterdam Convention - Zambia	28/01/2011 (accession)	H.E. Mr. Jonas Kamima Chanda

APPENDICES:

- A. LOGICAL FRAMEWORK
- B. CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY WITH GEF FUNDING
- C. GEF OFF ENDORSEMENT LETTER
- D. ENVIRONMENTAL AND SOCIAL SAFEGUARDS
- E. ACRONYMS AND ABBREVIATIONS
- F. SUPERVISION PLAN
- G. BUDGET BREAKDOWN
- H. THEORY OF CHANGE
- I. PROBLEM AND OBJECTIVE TREES
- J. COUNTRY BASELINE ASSESSMENTS

Appendix A: Project Logical Framework

Project Objective	Objective level Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	UNEP Programme of Work (PoW) reference and link to SDGs
Facilitate the implementation of the Stockholm Convention in participating countries through the development, review and update of the NIPs and submission to the Conference of the Parties of the Convention	<ul style="list-style-type: none"> Number of NIPs and NIP updates transmitted to the SC Secretariat Number of Parties submitted their NIPs and NIP updates within the deadlines set by the Convention 	Lack of political support and technical capacity to develop, review and update NIPs with national resources in many developing countries; due to the new chemicals added to the SC, Parties need resources to conduct frequent updates to their NIPs	<p>3 NIPs or NIP updates transmitted to the SC Secretariat</p> <p>At least 1 Party prepared and committed to review and update their own NIPs in the future</p>	<p>Surveys and progress reports</p> <p>SC website</p>	<p>Risks: Change in the political and economic situation during the lifetime of the project impacts its implementation</p> <p>Assumptions: Governments are engaged in fulfilling their obligations under the SC</p>	<p>Subprogramme 5: chemical, waste and air quality</p> <p>SDG3.9: By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination</p> <p>SDG 12.4: By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment</p> <p>SDG 12.4.1: Number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement</p>
1. POLITICAL COMPONENT (funded through project 10785)						
Outcome 1	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	
Developed, reviewed, and updated NIPs are endorsed by national government and roadmaps are adopted by key stakeholders	<ul style="list-style-type: none"> Number of NIPs and NIP updates endorsed as per Article 7 to the SC (impact class 5) 	Several Parties received financial support to complete their NIPs but lack government endorsement; communication between technical and political efforts need improvement	3 Parties state that they have the political environment to support future NIP review and update process	Progress reports, evidence of national legislations or mechanisms	<p>Risks Governments do not prioritize the issue of POPs management and fail to put it forward as an agenda for policy change and support</p> <p>Inability or lack of capacity for governments to provide adequate support to the NIP/NIP update process</p> <p>Assumptions Governments engaged in creating enabling environment for POPs management</p>	
Outputs	Output Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	
1.1 Parties are engaged and regularly informed on project progress	<ul style="list-style-type: none"> Number of reports developed on the challenges related to the endorsement of final NIPs (activity 1.1.2) (impact indicator 9.1) Number of Parties engaged in side events at the COP and other meetings and exchanged information on project progress and lessons learned (activity 1.1.1) (impact indicator 8.2) 	Most of the previous projects were national NIP projects; some form of communication exists in all countries but not sufficient	<p>One report developed on challenges</p> <p>3 Parties engaged in meetings/side events</p> <p>At least 30% women participation in events or activities (size of meetings are not known at project design therefore quantifiable targets cannot be determined at this time)</p>	Meeting or activities reports and list of participants	<p>Risks Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions Governments engaged in creating enabling environment for management of POPs; high level commitment at the COP supporting NIP endorsement and submission to the SC Secretariat</p>	
1.2 Draft national legislation or mechanism established and roadmap for adoption developed for POPs data collection and management	<ul style="list-style-type: none"> Number of modalities/procedures developed to support POPs management and NIP endorsement (activity 1.2.1) (impact indicator 4.1) Number of policy makers trained on the development, implementation and maintenance of a national mechanism to manage collected POPs data for NIP review/update and national reporting (activity 1.2.2) (impact indicator 10.3) Number of existing policies/strategies/legislation reviewed and analyzed to develop suggested legislation text (activity 1.2.3) (impact indicator 9.1) Number of sample national roadmaps developed for adoption of legal text from Activity 1.2.3 (activity 1.2.4) (impact indicator 4.1) 	Draft legislation related to POPs management (collection of data and reporting) exist in almost all countries but not sufficient for systematic data collection and management; national coordination mechanisms have been formed previously in most countries but some of them are not functional	<p>One guidance developed to support the process of data collection, national reporting and modality for final quality check</p> <p>3 Parties trained on the development, implementation and maintenance of a national mechanism on data collection and national reporting</p> <p>3 Parties reviewed and analyzed their existing legislation</p> <p>At least 1 sample roadmap for legal text adoption at national level developed</p> <p>At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)</p>	<p>Guidance and roadmap documents</p> <p>Meeting participants list</p>	<p>Risks Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions Governments engaged in creating enabling environment for management of POPs</p>	
1.3 NIPs are successfully linked to national development priorities	<ul style="list-style-type: none"> Number of policy makers sensitized/trained on contribution of NIP priorities and implementation to the achievement of SDGs (activity 1.3.1) (impact indicator 10.3) Number of policy makers sensitized/trained on linkages of NIP priorities to SAICM, waste and 	Some Action Plans are not sustainable because they do not link to national SDGs and priorities in other areas and this is relevant for overall	<p>3 Parties sensitized on contribution of NIP priorities toward SDGs</p> <p>3 Parties sensitized on linkages of NIP priorities to SAICM, wastes climate change, etc.</p>	<p>Meeting notes and participants list</p> <p>Final NIP</p>	<p>Risks Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions Governments engaged in creating enabling</p>	

	contaminated sites management, climate change, biodiversity, etc. (activity 1.3.2) (impact indicator 10.3) <ul style="list-style-type: none"> Number of policy makers sensitized/trained on costs of inaction and the chemObs approach (activity 1.3.3) (impact indicator 10.3) 	sound chemicals management	3 Parties sensitized on costs of inaction and the chemObs approach At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)		environment for management of POPs	
1.4 Strengthened national and international science-policy interfaces	<ul style="list-style-type: none"> Number of new strategies or guidance prepared to strengthen the national science-policy interface to facilitate, among others, the NIP endorsement (activity 1.4.1)(impact indicator 4.1) Number of policy makers sensitized/trained on the role of the NIP at national level and different applications of POPs data compiled (activity 1.4.2)(impact indicator 10.3) 	Limited information is available from developing countries and countries with economies in transition to support the work of the POPRC National science policy interface for NIP development/ updating has been weak and policy makers don't make the best use of POPs data compiled to develop/update NIPs or report on progress to the Convention	One guidance prepared on strengthening national science - policy interface (consistent with the existing programme on "From Science to Action" under the SC) 3 Parties sensitized on different applications of POPs data At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)	Strategy document, assessments/inventories, meeting notes, participants lists Final NIP	Risks Inability or lack of capacity for governments to provide adequate support services Assumptions Governments engaged in creating enabling environment for management of POPs; government does not discredit science; support by the government to do a preliminary assessment of POPs (information on source such as production and use) not yet listed to the Convention and submit this information to the POPs Review Committee (POPRC)	

2. TECHNICAL COMPONENT (funded through project 10785)

Outcome 2	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	
Strategic approach used and capacities built lead to timely NIP development, review and update	<ul style="list-style-type: none"> Number of Parties identifying, adopting, using and sharing best practices to strengthen national POPs data management system (impact class 3) 	Management systems and technical capacity exist in some countries but not sufficient to develop, review and update NIPs independently	At least 1 Party stated that they have the technical capacity to independently conduct their NIP review and update in the future	Survey of national stakeholders on their capacity level	Risks Inability or lack of capacity for governments to provide adequate support services Assumptions Governments engaged in creating enabling environment for management of POPs	
Output	Output Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	
Output 2.1 Methodologies for POPs inventory and other assessments needed for NIP development are available and user friendly; can be easily accessed; and sectoral approaches to POPs inventories are explored	<ul style="list-style-type: none"> Number of technical tools (for POPs inventories and tracking, socio-economic assessment, gender) and best practices (sectoral approaches) developed/modified (activities 2.1.1, 2.1.2 and 2.1.3) (impact indicator 3.2) 	Tools have been developed and posted on the SC website, however, they are not always user friendly; sectoral approaches to chemicals have not been applied widely in countries	3 technical tools developed/modified in consultation with the BRS Secretariat for consideration 3 case studies developed on sectoral approach	Suite of technical tools, sectoral approach; sectoral approach pilot reports	Risks Inability or lack of capacity for governments to provide adequate support services Assumptions Support from the SC Secretariat on the development of methodologies and tools	
Output 2.2 Report on the global production, use and trade of newly listed chemicals developed	<ul style="list-style-type: none"> Number of reports/plans prepared (including gap analysis for NIP review and update and list of tier 1,2,3 countries on new chemicals) (activities 2.2.1, 2.2.2 and 2.2.3) (impact indicator 4.2) 	This report does not exist currently	One report published on global production, use and trade of newly listed chemicals	Report itself	Risks Inability or lack of capacity for governments to provide adequate support services Assumptions Support from the SC Secretariat on the development of methodologies and tools	
Output 2.3 National expertise to review and update the NIP is built	<ul style="list-style-type: none"> Number of end-users/beneficiaries trained (activities 2.3.1, 2.3.2, 2.3.4) (impact class 10.1) Number of best practices developed (including collaboration with national statistical offices) (activity 2.3.3) (impact class 3.2) 	Country and regional trainings have been conducted previously but not sufficient to allow Parties to conduct NIP updates on their own	3 Parties trained 3 best practices developed At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)	Training report, training materials, participants list	Risks Inability or lack of capacity for governments to provide adequate support services Assumptions Support from the SC Secretariat on the development of methodologies and tools	
Output 2.4 Standard structure for national data management system identified and increased cooperation and coordination between different stakeholders owning data	<ul style="list-style-type: none"> Number of guidance/standards prepared for data management at the national level and long medium/long term strengthening of data management systems (activities 2.4.1 and 2.4.3) (impact indicator 4.1) Number of platforms/databases/hubs established to complement national data management systems (activity 2.4.2) (impact indicator 9.2) Number of end-users/beneficiaries trained on the use of data toward risk assessment and priority setting (activity 2.4.4) (impact indicator 10.1) 	National data management system exist (some need improvement) in many countries but no existing regional platform to share information and for data management	One set of recommended standard structure developed for data management at the national level 5 data management hubs established (one per region) 3 Parties trained on the data management hub At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)	Data management system itself	Risks Inability or lack of capacity for governments to provide adequate support services Assumptions National stakeholders accept transferring national data on POPs to UNEP, the BRS Secretariat or BCRCs-SCRCs and adopt recommendation to strengthen the national POPs data management system	
Output 2.5 Strengthened capacity to use POPs inventory and monitoring data	<ul style="list-style-type: none"> Number of existing GMP and POPs inventory reports reviewed to identify priority chemicals for which action plans are to be developed and included in the NIP (activity 2.5.1) (impact indicator 9.1) Number of policy makers sensitized/trained on to how to interpret POPs inventory and 	Policy makers don't have the capacity to use POPs inventory and monitoring data to develop policy	3 NIP reports reviewed 3 Parties trained At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)	List of priority chemicals per country or region	Risks Inability or lack of capacity for governments to provide adequate support services Assumptions National stakeholders accept transferring national data on POPs to UNEP, the BRS Secretariat	

	monitoring data (activity 2.5.2) (impact indicator 10.3)				or BCRCs-SCRCs and adopt recommendation to strengthen the national POPs data management system	
Output 2.6 Parties are informed on how to access alternatives to POPs to reduce/eliminate their presence in articles/products and implement BAT and BEP to reduce uPOPs emissions	<ul style="list-style-type: none"> Number of end-users/beneficiaries trained on available guidance on alternatives to POPs and BAT/BEP (activity 2.6.1) (impact indicator 10.1) Number of best practices developed on how to access alternatives to new industrial POPs to reduce/eliminate their presence in articles/products and implement BAT and BEP to reduce uPOP emissions (activity 2.6.2) (impact indicator 3.2) 	Alternatives to POPs to reduce/eliminate their presence in articles/products and implementation of BAT and BEP to reduce uPOPs are not considered in details in the development of Action Plans. As a result, Action Plans and its costs are not realistic	<p>3 Parties trained</p> <p>3 best practices developed</p> <p>At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)</p>	Training reports and participants list; end of project surveys to participating countries	<p>Risks</p> <p>Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions</p> <p>Governments engaged in creating enabling environment for management of POPs</p>	
Output 2.7 Strengthened capacity for action plan costs development	<ul style="list-style-type: none"> Number of end-user/beneficiaries trained on NIP priority setting, costed action plan development for specific POPs and LIRA guidance (activities 2.7.1 and 2.7.1) (impact indicator 10.1) 	Action Plan priority setting costs are not realistic and are not considered in the national development agenda and budget allocations	<p>3 Parties trained</p> <p>At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)</p>	Training report and participants list	<p>Risks</p> <p>Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions</p> <p>Governments engaged in creating enabling environment for management of POPs</p>	
Output 2.8 Strengthened capacity to fundraise internally and externally for NIP implementation	<ul style="list-style-type: none"> Number of end-user/beneficiaries trained on fundraising for NIP implementation (activity 2.8.1) (impact indicator 10.1) 	Countries have challenges in calculating the funds needed for the implementation of NIPs, and they rely on external resources to implement it	<p>3 Parties trained</p> <p>At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)</p>	Training report and participants list	<p>Risks</p> <p>Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions</p> <p>Governments engaged in creating enabling environment for management of POPs</p>	
Output 2.9 NIP quality is checked and final document is validated	<ul style="list-style-type: none"> Number of new framework/checklist developed for final NIP quality check and validation (activity 2.9.1) (impact indicator 4.1) Number of end-user/beneficiaries supported to implement the checklist developed in 2.9.1 (activity 2.9.2) (impact indicator 10.1) 	The global component of the NIP development/updating projects currently implemented by UNEP has been responsible for the final quality check of the documents. This has been considered a good practice and should be kept in the new project.	<p>One new checklist developed</p> <p>3 Parties trained</p> <p>At least 30% women participation in events or activities (size of meetings unknown at project design therefore quantifiable targets cannot be determined at this time)</p>		<p>Risks</p> <p>Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions</p> <p>Governments engaged in creating enabling environment for management of POPs</p>	

3. NATIONAL NIP DEVELOPMENT/UPDATING AND NATIONAL REPORTING COMPONENT

Outcome 3	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	
Parties are compliant with Article 7 and 15 of the Stockholm Convention	Number of NIPs/NIP updates and national reports transmitted to the SC Secretariat as per Article 7 and Article 15 (impact class 5)	Some Parties have already submitted a NIP and a NIP update and national reports previously, some have not	<p>3 Parties transmitted NIPs/ NIP updates and completed their national reporting to SC Sec</p>	NIP reports itself	<p>Risks</p> <p>Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions</p> <p>Governments engaged in creating enabling environment for management of POPs</p>	
Outputs	Output Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks	
Output 3.1 Developed or updated NIPs are endorsed by national stakeholders and submitted to the SC Secretariat	<ul style="list-style-type: none"> Number of ToRs prepared for national coordination mechanism (activity 3.1.1) (impact indicator 4.1) Number of NIPs developed, updated, reviewed and submitted to the SC Secretariat (activity 3.1.2) (impact indicator 5.1) 	Some Parties have already completed their NIP and previous NIP updates, some have not	<p>3 ToRs for national coordination mechanism modified/developed (one per country)</p> <p>3 NIPs updated and reviewed</p>	NIP reports	<p>Risks</p> <p>Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions</p> <p>Legislation or mechanism for systematic data collection are adopted by the national government at project end</p> <p>National coordination mechanism remain active at project end to implement NIP; report on its implementation (Article 15); and update the NIP (Article 7)</p> <p>Governments willing to share information and consult with major groups and stakeholders</p> <p>Government translate POPs data in priority assessment and objective setting, regardless of the negative publicity that is may bring to the country</p> <p>Commitment at the COP is translated in concrete support for NIP endorsement at the national level</p>	

Output 3.2 National reports submitted to the SC Secretariat	<ul style="list-style-type: none"> Number of national reports submitted to the SC (activity 3.2.1) (impact indicator 5.2) 	National reports have been submitted by some Parties that have previously completed a NIP or NIP update	3 national reports submitted	National reports	<p>Risks Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions Legislation or mechanism for systematic data collection are adopted by the national government at project end</p> <p>National coordination mechanism remain active at project end to implement NIP; report on its implementation (Article 15); and update the NIP (Article 7)</p> <p>Governments willing to share information and consult with major groups and stakeholders</p> <p>Government translate POPs data in priority assessment and objective setting, regardless of the negative publicity that is may bring to the country</p> <p>Commitment at the COP is translated in concrete support for NIP endorsement at the national level</p>
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4. KNOWLEDGE MANAGEMENT AND INFORMATION SHARING COMPONENT (funded through project 10785)

Outcome 4	Outcome Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks
Knowledge sharing led to improvement in the NIP development, update and implementation processes	Number of countries demonstrating increased knowledge and capacity (impact class 10)	None of the participating countries can conduct a NIP and a NIP update on their own using national resources	At least 1 country demonstrated independent ability to conduct NIP updates on their own using national resources	<ul style="list-style-type: none"> Progress reports Surveys and interviews 	<p>Risks Inability or lack of capacity for governments to provide adequate support services</p> <p>Assumptions Capacity built remains in the countries to review and update the NIP and report on its implementation</p> <p>External funding for NIP implementation is available</p> <p>Political willingness to implement NIP</p>
outputs	Output Indicators	Baseline	Targets and Monitoring Milestones	Means of Verification	Assumptions & Risks
Output 4.1 New knowledge products and tools are developed and disseminated to target countries and all Parties to the SC	<ul style="list-style-type: none"> Number of knowledge tools developed (methodologies and tools are inserted in SC electronic toolkit, including tools for outreach) (activities 4.1.1 and 4.1.2)(impact indicators 3.2) Number of outreach strategies developed (activity 4.1.3)(impact indicator 4.1) 	Some tools already exist but need modifications	<ul style="list-style-type: none"> 3 tools developed for the electronic toolkit (consistent with and not duplicating existing SC tools especially those adopted by the COP) 3 entries on the electronic toolkit (symbolize uptake by Parties) 3 NIPs/NIP updates transmitted through the electronic toolkit 3 country specific outreach strategies 	<ul style="list-style-type: none"> Technical tools Activity rate on electronic toolkit Activity rate on Communities of Practice of the SC Clearinghouse website 	<p>Risks Inability or lack of capacity for governments to provide adequate support</p> <p>Assumptions Willingness and consent from governments to share information and data</p> <p>SC Secretariat supports the use of BRS clearinghouse mechanism</p>
Output 4.2 Knowledge platform at the regional and global levels established and operational	<ul style="list-style-type: none"> Number of media products published on platforms (activities 4.2.1, 4.2.2, 4.2.4)(Impact indicator 8.3) Number of platforms established (activity 4.2.3)(impact indicator 11.1) 	Existing information sharing platforms and methodologies need improvement	<ul style="list-style-type: none"> One platform established at the regional and global levels At least 3 media products are published on the platform 		
Output 4.3 Knowledge transferred and information exchanged using communities of practice and online training/webinars on key issues	<ul style="list-style-type: none"> Number of people trained through quarterly regional webinars (activity 4.3.1) (impact indicator 10.1) Number of countries trained through component 1 and 2 (activity 4.3.2) (impact indicator 10.1) 	No regular regional webinars are in planning; usage and effectiveness of the communities of practice is unknown	At least total of 20 webinars are organized in 6 regions, reaching more than 20 people per region. This will be done in coordination with Global Project		

Appendix B. Consultants to be hired for the enabling activity with GEF funding

Titles	\$/week	Estimated weeks	Total	Tasks to be performed
For EA Management				
International (per center per country)				
Project Manager at each SCRC	515	20	10,300	Day to day supervision and coordination of nation projects in the region, reporting and monitoring of activities and tasks
For Technical Assistance				
National (per country)				
National NIP experts	357	280	~100000	Focal point at the national level to liaise with executing agencies, main contact POPs inventories and collection of data for the NIP (3 total including one lead expert in each country)
International				
POPs regional expert (in SCRC)	685	23	16,000	Assist the countries in POPs inventory/assist the centers in data management

Appendix D. Environmental and social safeguards (SRIF)

Safeguard Risk Identification Form (SRIF)

Section 1: Project Overview

Identification	
Project Title	<i>Review and Update of the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) in Ethiopia, Malawi and Zambia</i>
Managing Division	<i>Economy Division</i>
Type/Location	<i>Global</i>
Region	<i>Africa</i>
List Countries	<i>Ethiopia, Malawi, Zambia</i>
Project Description	<i>The project main objective is to enable participating countries to implement the Stockholm Convention through the development, review, update and submission of the National Implementation Plan (NIP) to the Conference of the Parties of the Stockholm Convention (COP)</i>
Relevant Subprogrammes	<i>N/A</i>
Estimated duration of project	<i>44 months</i>
Estimated cost of the project	<i>USD\$ 939,900</i>
Name of the UNEP project manager responsible	<i>Mr. Ludovic Bernaudat/Mr. Jitendra Sharma</i>
Funding Source(s)	<i>GEF</i>
Executing/Implementing partner(s)	<i>Africa Institute, Stockholm Conventions Regional Centre, South Africa</i>
SRIF submission version	<i>N/A</i>
Safeguard-related reports prepared so far <i>(Please attach the documents or provide the hyperlinks)</i>	<ul style="list-style-type: none"> • <i>Feasibility report []</i> • <i>Gender Action Plan []</i> • <i>Stakeholder Engagement Plan []</i> • <i>Safeguard risk assessment or impact assessment []</i> • <i>ES Management Plan or Framework []</i> • <i>Indigenous Peoples Plan []</i> • <i>Cultural Heritage Plan []</i> • <i>Others _____</i>

Section 2: Safeguards Risk Summary

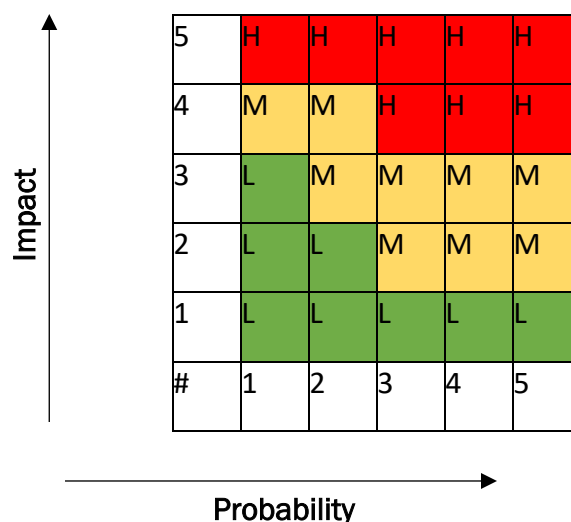
A. Summary of the Safeguards Risk Triggered

Safeguard Standards Triggered by the Project	Impact of Risk ¹¹ (1-5)	Probability of Risk (1-5)	Significance of Risk (L, M, H) <i>Please refer to the matrix below</i>
SS 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management	1	1	L
SS 2: Climate Change and Disaster Risks	1	1	L
SS 3: Pollution Prevention and Resource Efficiency	1	1	L
SS 4: Community Health, Safety and Security	1	1	L
SS 5: Cultural Heritage	1	1	L
SS 6: Displacement and Involuntary Resettlement	1	1	L
SS 7: Indigenous Peoples	1	1	L
SS 8: Labor and working conditions	1	1	L

B. ESS Risk Level¹² -

Refer to the UNEP ESSF (Chapter IV) and the UNEP's ESSF Guidelines.

- Low risk
- Moderate risk
- High risk
- Additional information required



C. Development of ESS Review Note and Screening Decision

Prepared by _____

¹¹ Refer to UNEP Environmental and Social Sustainability Framework (ESSF): Implementation Guidance Note to assign values to the Impact of Risk and the Probability of Risk to determine the overall significance of Risk (Low, Moderate or High).

¹² **Low risk:** Negative impacts minimal or negligible: no further study or impact management required.

Moderate risk: Potential negative impacts, but limited in scale, not unprecedented or irreversible and generally limited to programme/project area; impacts amenable to management using standard mitigation measures; limited environmental or social analysis may be required to develop a Environmental and Social Management Plan (ESMP). Straightforward application of good practice may be sufficient without additional study.

High risk: Potential for significant negative impacts (e.g. irreversible, unprecedented, cumulative, significant stakeholder concerns); Environmental and Social Impact Assessment (ESIA) (or Strategic Environmental and Social Assessment (SESA)) including a full impact assessment may be required, followed by an effective comprehensive safeguard management plan.

Name: Jitendra Sharma Date: 20 May 2022

Screening review by

Name: _____ Date: _____

Cleared¹³

Signature

D. Safeguard Review Summary (by the safeguard team)

The project is in the low-risk category. However, due diligence on potential safeguard issues is recommended throughout the project. UNEP ESSF guiding principles-- resilience and sustainability; human rights, gender equality and women empowerment, accountability and leave no one behind--are still applicable for all UNEP projects.

E. Safeguard Recommendations (by the safeguard team)

- No specific safeguard action required
- Take Good Practice approach¹⁴
- Carry out further assessments (e.g., site visits, experts' inputs, consult affected communities, etc.)
- Carry out impact assessments (by relevant experts) in the risk areas and develop management framework/plan
- Consult Safeguards Advisor early during the full project development phase
- Other _____

¹³ This is signed only for the full projects latest by the PRC time.

¹⁴ Good practice approach: For most low-moderate risk projects, good practice approach may be sufficient. In that case, no separate management plan is necessary. Instead, the project document demonstrates safeguard management approach in the project activities, budget, risks management, stakeholder engagement or/and monitoring segments of the project document to avoid or minimize the identified potential risks without preparing a separate safeguard management plan.

Section 3: Safeguard Risk Checklist

Screening checklist	Y/N/ Maybe	Justification for the response (please provide answers to each question)
Guiding Principles (these questions should be considered during the project development phase)		
GP1 Has the project analyzed and stated those who are interested and may be affected positively or negatively around the project activities, approaches or results?	N	The project will make an effort to include any potentially affected stakeholders in the decision making process, in particular vulnerable and marginalized groups
GP2 Has the project identified and engaged vulnerable, marginalized people, including disabled people, through the informed, inclusive, transparent and equal manner on potential positive or negative implication of the proposed approach and their roles in the project implementation?	N	The project has identified but not yet engaged vulnerable and marginalized people in the project development process
GP3 Have local communities or individuals raised human rights or gender equality concerns regarding the project (e.g. during the stakeholder engagement process, grievance processes, public statements)?	N	No issues have been raised during project development
GP4 Does the proposed project consider gender-balanced representation in the design and implementation?	Y	<p>The level of exposure to POPs chemicals and its related impacts on human health are determined by social and biological factors. The project will aim to integrate gender mainstreaming throughout planned activities</p> <p>Knowledge management activities will include a discussion of POPs impact on health for different target groups. Women often lead civil society activities to reduce health risks involved in their communities. The empowerment of women's groups and women led groups has very beneficial impacts in strengthening community response to the exposure of POPs</p> <p>Information dissemination at both global and national level will provide the opportunity to raise awareness on gender-related issues and promote gender equality by developing materials in a gender sensitive manner to ensure that learning opportunities are available to and effective for both men and women. Dissemination of evidence of negative impacts on male and female reproductive health can be particularly powerful</p>
GP5 Did the proposed project analyze relevant gender issues and develop a gender responsive project approach?	Y	Please see response above
GP6 Does the project include a project-specific grievance redress mechanism? If yes, state the specific location of such information.	Y	It is the role of the executing agencies to address any problems and challenges during project execution

GP7	Will or did the project disclose project information, including the safeguard documents? If yes, please list all the webpages where the information is (or will be) disclosed.	N	This decision will be made during the inception workshop
GP8	Were the stakeholders (including affected communities) informed of the projects and grievance redress mechanism? If yes, describe how they were informed.	N	Only project partners and country representatives who will be involved in the activities were informed
GP9	Does the project consider potential negative impacts from short-term net gain to the local communities or countries at the risk of generating long-term social or economic burden? ¹⁵	N	Not applicable to this project
GP10	Does the project consider potential partial economic benefits while excluding marginalized or vulnerable groups, including women in poverty?	N	Not applicable to this project
Safeguard Standard 1: Biodiversity, Ecosystems and Sustainable Natural Resource Management			
<i>Would the project potentially involve or lead to:</i>			
1.1	conversion or degradation of habitats (including modified habitat, natural habitat and critical natural habitat), or losses and threats to biodiversity and/or ecosystems and ecosystem services?	N	The project will assess the situation with regards to POPs in participating countries. It will not take direct action on the ground and therefore it will not have impacts in the biodiversity, natural habitat and management of living resources
1.2	adverse impacts specifically to habitats that are legally protected, officially proposed for protection, or recognized as protected by traditional local communities and/or authoritative sources (e.g. National Park, Nature Conservancy, Indigenous Community Conserved Area, (ICCA); etc.)?	N	Same as above
1.3	conversion or degradation of habitats that are identified by authoritative sources for their high conservation and biodiversity value?	N	Same as above
1.4	activities that are not legally permitted or are inconsistent with any officially recognized management plans for the area?	N	Same as above
1.5	risks to endangered species (e.g. reduction, encroachment on habitat)?	N	Same as above
1.6	activities that may result in soil erosion, deterioration and/or land degradation?	N	Same as above
1.7	reduced quality or quantity of ground water or water in rivers, ponds, lakes, other wetlands?	N	Same as above
1.8	reforestation, plantation development and/or forest harvesting?	N	Same as above
1.9	support for agricultural production, animal/fish production and harvesting	N	Same as above
1.10	introduction or utilization of any invasive alien species of flora and fauna, whether accidental or intentional?	N	Same as above
1.11	handling or utilization of genetically modified organisms?	N	Same as above
1.12	collection and utilization of genetic resources?	N	Same as above

¹⁵For example, a project may consider investing in commercial shrimp farm by clearing the nearby mangrove forest to improve the livelihood of the coastal community. However, long term economic benefit from the shrimp farm may be significantly lower than the mangroves if we consider full costs factoring safety from storms, soil protection, water quality, biodiversity and so on.

Safeguard Standard 2: Climate Change and Disaster Risks			
<i>Would the project potentially involve or lead to:</i>			
2.1	improving resilience against potential climate change impact beyond the project intervention period?	N	The project will not improve resilience against potential climate change impact
2.2	areas that are now or are projected to be subject to natural hazards such as extreme temperatures, earthquakes, extreme precipitation and flooding, landslides, droughts, severe winds, sea level rise, storm surges, tsunami or volcanic eruptions in the next 30 years?	N	The project will not involve areas that are now or are projected to be subject to natural hazards
2.3	outputs and outcomes sensitive or vulnerable to potential impacts of climate change (e.g. changes in precipitation, temperature, salinity, extreme events)?	N	The project will not lead to outputs and outcomes sensitive or vulnerable to potential impacts of climate change
2.4	local communities vulnerable to the impacts of climate change and disaster risks (e.g. considering level of exposure and adaptive capacity)?	N	The project will not involve local communities vulnerable to the impact of climate change and disaster risks
2.5	increases of greenhouse gas emissions, black carbon emissions or other drivers of climate change?	N	The project will not increase GHG emissions
2.6	Carbon sequestration and reduction of greenhouse emissions, resource-efficient and low carbon development, other measures for mitigating climate change	N	The project will not involve carbon sequestration and reduction of GHG emissions
Safeguard Standard 3: Pollution Prevention and Resource Efficiency			
<i>Would the project potentially involve or lead to:</i>			
3.1	the release of pollutants to the environment due to routine or non-routine circumstances with the potential for adverse local, regional, and/or transboundary impacts?	N	The project will not release any pollutants to the environment, it is actually trying to prevent further release of POPs into the environment; the project is developing/updating an implementation plan, therefore no concrete actions on the ground will be taken through the planned activities
3.2	the generation of waste (both hazardous and non-hazardous)?	N	Same as above
3.3	the manufacture, trade, release, and/or use of hazardous materials and/or chemicals?	Y	The project will aim to reduce/eliminate the use and release of POPs chemicals and products; however, the project will only develop/update an implementation plan, no concrete actions will be taken on the ground
3.4	the use of chemicals or materials subject to international bans or phase-outs? (e.g. DDT, PCBs and other chemicals listed in international conventions such as the Montreal Protocol , Minamata Convention , Basel Convention , Rotterdam Convention , Stockholm Convention)	N	This project is aligned with the Stockholm Convention Article 7 (NIPs) and Article 15 (national reporting)
3.5	the application of pesticides or fertilizers that may have a negative effect on the environment (including non-target species) or human health?	N	The project will not involve application of pesticides or fertilizers
3.6	significant consumption of energy, water, or other material inputs?	N	The project will not have significant consumption of energy, water, or other material inputs
Safeguard Standard 4: Community Health, Safety and Security			
<i>Would the project potentially involve or lead to:</i>			

4.1	the design, construction, operation and/or decommissioning of structural elements such as new buildings or structures (including those accessed by the public)?	N	The project will not involve the design, construction, operations and /or decommissioning of structure elements
4.2	air pollution, noise, vibration, traffic, physical hazards, water runoff?	N	The project will not lead to air pollution, noise, vibration, traffic, physical hazards nor water runoff
4.3	exposure to water-borne or other vector-borne diseases (e.g. temporary breeding habitats), communicable or noncommunicable diseases?	N	The project will not lead to exposure of waster borne or other vector borne diseases
4.4	adverse impacts on natural resources and/or ecosystem services relevant to the communities' health and safety (e.g. food, surface water purification, natural buffers from flooding)?	N	The project will not have adverse impacts on natural resources
4.5	transport, storage use and/or disposal of hazardous or dangerous materials (e.g. fuel, explosives, other chemicals that may cause an emergency event)?	N	The project will not involve transport, storage use and/or disposal of hazardous or dangerous materials
4.6	engagement of security personnel to support project activities (e.g. protection of property or personnel, patrolling of protected areas)?	N	The project will not engage security personnel
4.7	an influx of workers to the project area or security personnel (e.g. police, military, other)?	N	The project will not lead to an influx of workers to the project area
Safeguard Standard 5: Cultural Heritage			
<i>Would the project potentially involve or lead to:</i>			
5.1	activities adjacent to or within a Cultural Heritage site?	N	The project is not involved with cultural heritage sites
5.2	adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values or to intangible forms of cultural heritage (e.g. knowledge, innovations, practices)?	N	The project does not have adverse impacts to sites, structures or objects with historical, cultural, artistic, traditional or religious values
5.3	utilization of Cultural Heritage for commercial or other purposes (e.g. use of objects, practices, traditional knowledge, tourism)?	N	The project does not utilize cultural heritage or commercial or other purposes
5.4	alterations to landscapes and natural features with cultural significance?	N	The project does not alter landscapes and natural features with cultural significance
5.5	significant land clearing, demolitions, excavations, flooding?	N	The project does not lead to significant land clearing, demolitions, excavations, flooding
5.6 identification and protection of cultural heritage sites or intangible forms of cultural heritage			
Safeguard Standard 6: Displacement and Involuntary Resettlement			
<i>Would the project potentially involve or lead to:</i>			
6.1	full or partial physical displacement or relocation of people (whether temporary or permanent)?	N	The project does not involve physical displacement or relocation of people
6.2	economic displacement (e.g. loss of assets or access to assets affecting for example crops, businesses, income generation sources)?	N	The project does not lead to economic displacement
6.2	involuntary restrictions on land/water use that deny a community the use of resources to which they have traditional or recognizable use rights?	N	The project will not lead to involuntary restrictions on land/water use
6.3	risk of forced evictions?	N	The project will have no risk of forced evictions
6.4	changes in land tenure arrangements, including communal and/or customary/traditional land tenure patterns (including temporary/permanent loss of land)?	N	The project will not lead to change in land tenure arrangements

Safeguard Standard 7: Indigenous Peoples		
<i>Would the project potentially involve or lead to:</i>		
7.1 areas where indigenous peoples are present or uncontacted or isolated indigenous peoples inhabit or where it is believed these peoples may inhabit?	N	The project will not involve indigenous people
7.2 activities located on lands and territories claimed by indigenous peoples?	N	The project will not involve activities located on lands and territories claimed by indigenous people
7.3 impacts to the human rights of indigenous peoples or to the lands, territories and resources claimed by them?	N	The project will not involve indigenous people
7.4 the utilization and/or commercial development of natural resources on lands and territories claimed by indigenous peoples?	N	The project will not involve indigenous people
7.5 adverse effects on the development priorities, decision making mechanisms, and forms of self-government of indigenous peoples as defined by them?	N	The project will not involve indigenous people
7.6 risks to the traditional livelihoods, physical and cultural survival of indigenous peoples?	N	The project will not involve indigenous people
7.7 impacts on the Cultural Heritage of indigenous peoples, including through the commercialization or use of their traditional knowledge and practices?	N	The project will not involve indigenous people
Safeguard Standard 8: Labor and working conditions		
8.1 Will the proposed project involve hiring or contracting project staff ?	Y	The project will hire project staff in 6 SCRCs (EAs) (Project Manager and Project Assistant) and national staff in participating countries (NIP experts)
<i>If the answer to 8.1 is yes, would the project potentially involve or lead to:</i>		
8.2 working conditions that do not meet national labour laws or international commitments (e.g. ILO conventions)?	N	The project will provide working conditions that meet national labor laws
8.3 the use of forced labor and child labor?	N	The project will not involve forced labor nor child labor
8.4 occupational health and safety risks (including violence and harassment)?	N	The project will not have any occupational health and safety risks
8.5 the increase of local or regional unemployment?	N	The project will not increase local or regional unemployment
8.6 suppliers of goods and services who may have high risk of significant safety issues related to their own workers?	N	The suppliers and services providers to the project will not have high risk of significant safety issues related to their own workers
8.7 unequal working opportunities and conditions for women and men	N	The project will not lead to unequal working opportunities and conditions for women and men

Appendix E. Acronyms and abbreviations

BAT	Best Available Techniques
BCRCs	Basel Convention Regional Centres
BEP	Best Environmental Practices
BHC	Benzene Hexachloride
BRS	Basel, Rotterdam and Stockholm Conventions
COP	Conference of the Parties
CSO	Civil Society Organization
DDT	Dichlorodiphenyltrichloroethane
deca-BDE	Decabromodiphenyl ether
EA	Executing Agency
FAO	Food and Agriculture Organization
GEF	Global Environment Facility
GEF SEC	Global Environment Facility Secretariat
GEFTF	Global Environment Facility Trust Fund
GPS	Global Positioning System
GRID	Global Resource Information Database
HS	Harmonized System
HBB	Hexabromobiphenyl
HBCD	Hexabromocyclododecane
HCBD	Hexachlorobutadiene
IA	Implementing Agency
ILO	International Labour Organisation
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreement
NCM	National coordination Mechanism
NGOs	Non-Governmental Organizations
NIP	National Implementation Plans
PBDE	Pentabromodiphenyl ether
PCB	Polychlorinated Biphenyls
PCDD/PCDF	Polychlorinated dibenzo-p-dioxins / Polychlorinated dibenzofurans
PCNs	Polychlorinated naphthalenes
PCP	Pentachlorophenol and its salts and esters
PeCB	Pentachlorobenzene
PFOA	Perfluorooctanoic acid
PFOS	Perfluorooctanesulfonic acid
PFOS-F	Perfluorooctanesulfonyl fluoride
PIR	Project Implementation Review
PMC	Project Management Cost
POPs	Persistent Organic Pollutants
PoW	Programme of Work
SC	Stockholm Convention
SCCP	Short-chain chlorinated paraffins
SCRCs	Stockholm Convention Regional Centres
SMART	Specific, Measurable, Achievable, Relevant, Time-bound
SSC	Secretariat of the Stockholm Convention
ToR	Terms of Reference
TR	Terminal Review
UN	United Nations
UNEP	United Nations Environment Programme

UNEP EO	UNEP Evaluation Office
UNIDO	United Nations Industry Development Organization
UNITAR	United Nations Institute for Training and Research
uPOPs	Unintentional POPs
WHO	World Health Organisation

Appendix F. Supervision Plan

Activity No.	Activity	Year 1(2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Regional meetings																
	Semi-Annual Progress Reports (EAs to IA) (include national meetings)																
	Quarterly Financial Reports (EAs to IA)																
	Monitoring and Evaluation																
	Outcome 1: Developed, reviewed, and updated NIPs are endorsed by national government and roadmaps are adopted by key stakeholders																
1.1.1	Organize thematic workshops and side events, e.g. at the COP, to communicate, in particular to decision-makers, on the project outcomes and outputs, importance of NIPs and lessons learned																
1.1.2	Identify challenges encountered by participating countries with the final NIP endorsement at the national level based on previous experiences and facilitate the information exchange																
1.2.1	Develop guidance on institutional modalities and procedures for POPs management and NIP endorsement																
1.2.2	Provide capacity building/training on the development and implementation of a national legislation or mechanism to collect POPs data for NIP review and update and national reporting (including TORs for national mechanism)																
1.2.3	Collect model legislation adopted by other countries and develop legislation text for participating country's consideration																
1.2.4	Identify a national roadmap for adoption of the legal text																
1.3.1	Provide guidance and training on the contribution of the implementation of NIP priorities to the achievement of SDGs																
1.3.2	Provide guidance and training on the linkage of NIP priorities with SAICM, waste and contaminated sites management strategies, climate change, and biodiversity																
1.3.3	Raise awareness on the economic cost, risk and vulnerability of inaction (considering the ChemObs approach)																

Activity No.	Activity	Year 1(2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Regional meetings																
	Semi-Annual Progress Reports (EAs to IA) (include national meetings)																
	Quarterly Financial Reports (EAs to IA)																
	Monitoring and Evaluation																
1.4.1	Develop a strategy to strengthen the national science-policy interface to facilitate, among others, the NIP endorsement (consistent with the SC programme on "From Science to Action")																
1.4.2	Develop and deliver a training on the role of the NIP at national level and different uses of POPs data compiled																
Outcome 2: Strategic approach used and <u>capacities built</u> lead to timely NIP development, review and update																	
2.1.1	Explore and pilot test sectoral approaches to POPs inventories for selected groups of chemicals																
2.1.2	Support the transition of existing methodologies for POPs inventory development and tracking to <u>an</u> user friendly format (taken into consideration the shortcomings faced by countries)																
2.1.3	Develop user friendly methodologies and tools (<u>specially</u> virtual tools) for socio-economic assessment, the integration of gender (using the UNEP gender guide) in the NIP update and track POPs management over time																
2.2.1	Develop a global report on the production, use and trade of newly listed chemicals including a section on how to access the relevant international databases and statistics																
2.2.2	Prepare a report on the available POPs data or data relevant for POPs estimations produced by international statistics and develop a gap analysis for NIP review and update																
2.3.1	Develop and deliver training/webinars on the methodologies/reports developed or others already available necessary for the NIP review and update																

Activity No.	Activity	Year 1(2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Regional meetings																	
Semi-Annual Progress Reports (EAs to IA) (include national meetings)																	
Quarterly Financial Reports (EAs to IA)																	
Monitoring and Evaluation																	
2.3.2	Provide dedicated training on the interlinkages with Stockholm Convention national reporting requested POPs data and the use of the integrated electronic toolkit																
2.3.3	Develop a guiding methodology for strengthening the collaboration with national statistical offices as to address the identified gaps related to POPs data or relevant information supporting POPs data estimates (e.g. EEE/WEEE, vehicles in imported/in use/ELVs etc.)																
2.3.4	Develop and deliver a training to improve the production of national statistics relevant to the POPs data for NIP review and updating																
2.4.1	Develop a standard structure for POPs data management at national level																
2.4.2	Develop a regional data management hub at the Regional Centres or the SC clearinghouse to cover the gaps/complement the national data management systems/ensure consistency between granular data at the national level																
2.4.3	Develop a strategy for national adoption on medium and long term strengthening of the data management systems																
2.4.4	Raise awareness on the use of big data to risk assessment and priority setting																
2.5.1	Assess GMP data in combination with the national POPs inventories to identify priority chemicals for which action plans are to be developed and included in the NIP in each country																
2.5.2	Compile capacity gap and provide technical support to national or regional laboratories to sample and analyse the chemicals of interest identified in the activity 2.5.1 (data validation)																

Activity No.	Activity	Year 1(2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Regional meetings				■				■				■				■
	Semi-Annual Progress Reports (EAs to IA) (include national meetings)	■			■		■		■		■		■		■		■
	Quarterly Financial Reports (EAs to IA)	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
	Monitoring and Evaluation	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■	■
2.5.3	Training to policy makers on how to interpret and make use of the POPs inventory and monitoring data					■	■	■	■	■	■	■	■				
2.5.4	Training on NIP inventory structure and information to be reflected in its chapters (both qualitative and quantitative)					■	■	■	■	■	■	■	■				
2.5.5	Develop guidance and training on implementation of QA/QC system for POPs data validation	■	■	■	■	■	■	■	■	■	■	■	■				
2.6.1	Provide training on the available guidance documents on alternatives to POPs and BAT/BEP and compile information on the challenges faced by countries in accessing alternatives to POPs to reduce/eliminate their presence in articles/products and implementing BAT and BEP to reduce uPOPs emissions									■	■	■	■				
2.6.2	Develop a step by step approach on how to access alternatives to new industrial POPs and implement BAT and BEP to reduce uPOPs emissions			■	■	■	■	■	■	■	■	■	■				
2.7.1	Training on calculation of the action plan costs development and technical with clear roadmaps for implementation									■	■	■	■				
2.7.2	Training on the LIRA Guidance and identification of measures that can be considered in the NIP implementation									■	■	■	■				
2.7.3	Build capacity on NIP priority setting									■	■	■	■				
2.8.1	Develop and deliver a training on fundraising for NIP implementation									■	■	■	■				
2.9.1	Develop a framework/check list for final NIP quality check and validation													■	■	■	■

Activity No.	Activity	Year 1(2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Regional meetings																	
Semi-Annual Progress Reports (EAs to IA) (include national meetings)																	
Quarterly Financial Reports (EAs to IA)																	
Monitoring and Evaluation																	
2.9.2	Make recommendations and provide technical support to countries to ensure the reviewed NIP achieve the standard defined in activity 2.9.1																
2.9.3	Validate the final NIP																
Outcome 3: Parties are compliant with Article 7 and 15 of the Stockholm Convention																	
3.1.1	Complete NIP development or update procedure																
3.2.1	Consultation and coordination with key national stakeholders to collect data for national reporting within the NIP development and update process																
Outcome 4: Knowledge sharing led to improvement in the NIP development, update and implementation processes																	
4.1.1	<i>Insert report findings, methodologies and tools (from components 1 and 2) in the integrated electronic toolkit to facilitate NIP review and update (in 6 official UN languages)</i>																
4.1.2	Development of tools for outreach and consultation with major groups and stakeholders, particularly the private sector to be customized by Parties																
4.1.3	Provide country specific assistance on outreach and information dissemination including development of a strategy per target country																

Activity No.	Activity	Year 1(2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Regional meetings																
	Semi-Annual Progress Reports (EAs to IA) (include national meetings)																
	Quarterly Financial Reports (EAs to IA)																
	Monitoring and Evaluation																
4.2.1	Consult with the BRS Secretariat on the strengths and weaknesses of the existing information sharing methodologies and approaches																
4.2.2	Develop a blueprint for the proposed knowledge platform at both regional and global levels suitable for the proposed project, including linkages to the integrated electronic toolkit																
4.2.3	Upon approval of UNEP and BRS Secretariat, establish the new knowledge platform at both regional and global levels																
4.2.4	Provide country/regional specific (for both target countries and other Parties to the SC) training and information webinars to ensure that all Parties understand the purpose and functionalities of the platform at regional and global levels																
4.3.1	Organize quarterly webinars in each region with a focus on regional priorities (technical topics to be led by BCRCs-SCRCs)																
4.3.2	Updated project information, guidance and tools are successfully delivered as trainings to target countries and shared with the Communities of Practice of SC clearinghouse mechanism (or re-invention of)																

Activity No.	Activity	Year 1(2022)				Year 2 (2023)				Year 3 (2024)				Year 4 (2025)			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Regional meetings																
	Semi-Annual Progress Reports (EAs to IA) (include national meetings)																
	Quarterly Financial Reports (EAs to IA)																
	Monitoring and Evaluation																
4.3.3	Involve in preparation for presentation of project results at COP meetings																

Appendix G: Budget Breakdown

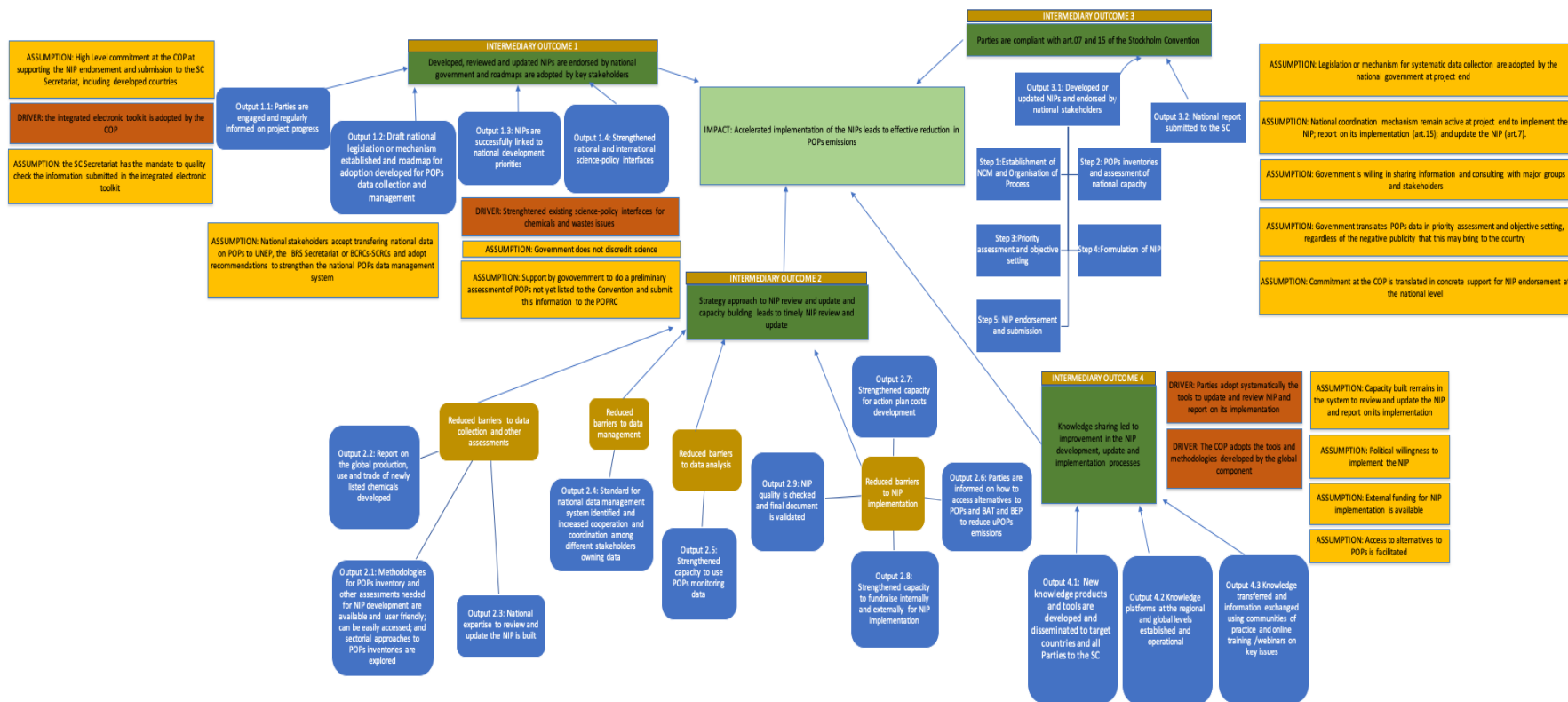
Detailed Budget

UNEP BUDGET LINE/OBJECT OF EXPENDITURE			Responsible Agency	Component 2: Technical Capacity (linked to GEF10785)	Component 3: NIP/NIP Update and Natl Reporting	Component 5: M&E	PMC	Total	
				US\$	US\$	US\$	US\$	US\$	
10	PROJECT PERSONNEL COMPONENT		EA						
	1100	Project Personnel							
	1101	Project Manager						30,900	30,900
	1105	POPs regional expert (technical focus)			15,000	48,000			63,000
	1199	Sub-Total			15,000	48,000	0	30,900	93,900
	1200	National NIP experts				300,000			300,000
	1299	Sub-Total			0	300,000	0	0	300,000
16	1600	Travel on official business							
	1601	Travel for EA to national inception workshop						3,000	3,000
	1602	Travel for EA to national validation workshop						3,000	3,000
	1699	Sub-Total		0	0	0	6,000	6,000	
	1999	Component Total		15,000	348,000	0	36,900	399,900	
30	TRAINING COMPONENT		EA						
	3200	Group training (field trips, WS, etc.)							
	3205	National trainings				270,000			270,000
	3299	Sub-Total			0	270,000	0	0	270,000
	3300	Meetings/conferences							
	3301	National meetings				225,000			225,000
	3399	Sub-Total			0	225,000	0	0	225,000
	3999	Component Total		0	495,000	0	0	495,000	
50	MISCELLANEOUS COMPONENT		UNEP (IA)						
	5200	Reporting costs (publications, maps)							
	5201	Knowledge Management/Communication Pieces (including design, web work, translations)				39,000			39,000
	5299	Sub-Total			0	39,000	0	0	39,000
	5500	Evaluation							
	5502	Final Evaluation					6,000		6,000
	5599	Sub-Total		0	0	6,000	0	6,000	
	5999	Component Total		0	39,000	6,000	0	45,000	
	TOTAL			\$15,000	\$882,000	\$6,000	\$36,900	939,900	

Country Contract

UNEP BUDGET LINE/OBJECT OF EXPENDITURE			Component 3: NIP/NIP Update and Natl Reporting		Component 5: M&E	PMC	Total
			Countries	Centers			
10	PROJECT PERSONNEL COMPONENT		US\$	US\$	US\$	US\$	US\$
	1100	Project Personnel					
	1101	Project Manager				10,300	10,300
	1105	POPs regional expert (technical focus)		16,000			16,000
	1199	Sub-Total	0	16,000	0	10,300	26,300
	1200	National NIP expert 1 (lead)	40,000				40,000
	1201	National NIP expert 2	30,000				30,000
	1202	National NIP expert 3	30,000				30,000
	1299	Sub-Total	100,000	0	0	0	100,000
16	1600	Travel on official business					
	1601	Travel for EAs to national inception workshop				1,000	1,000
	1602	Travel for EAs to national validation workshop				1,000	1,000
	1699	Sub-Total	0	0	0	2,000	2,000
	1999	Component Total	100,000	16,000	0	12,300	128,300
30	TRAINING COMPONENT						
	3200	Group training (field trips, WS, etc.)					
	3202	National inventory workshop/training 1	45,000				45,000
	3203	National inventory workshop/training 2	45,000				45,000
	3299	Sub-Total	90,000	0	0	0	90,000
	3300	Meetings/conferences					
	3301	National inception workshop	25,000				25,000
	3302	National validation workshop	25,000				25,000
	3303	National endorsement workshop	25,000				25,000
	3399	Sub-Total	75,000	0	0	0	75,000
	3999	Component Total	165,000	0	0	0	165,000
50	MISCELLANEOUS COMPONENT						
	5200	Reporting costs (publications, maps)					
	5201	Knowledge Management/Communication Pieces (including design, web work, translations)	13,000				13,000
	5299	Sub-Total	13,000	0	0	0	13,000
	5500	Evaluation					
	5502	Final Evaluation			2,000		2,000
	5599	Sub-Total	0	0	2,000	0	2,000
	5999	Component Total	13,000	0	2,000	0	15,000
	TOTAL		\$278,000	\$16,000	\$2,000	\$12,300	308,300

Appendix H: Theory of Change



Appendix I: Problem and Objective Trees

PROBLEM TREE

EFFECTS	
Delays in reviewing and updating the NIP slowing down the access to international/national funding for NIP implementation	Reduced effectiveness of the Stockholm Convention in reducing POPs emissions and protecting the human health and the environment from POPs
Parties to the SC are unable to complete their NIP updates as per the existing timeline under the SC when new chemicals are listed to the Convention	Lack of a sustainable system leads to the dependence of developing countries on external resources to assess their national POPs situation and review and update their NIPs

PROBLEM
Parties to the SC don't have the capacity and system in place for a cost-efficient and less time consuming NIP review and update (Art.7) and reporting on Art.15

CAUSE 1
Parties to the SC are not able to review and updated their NIP every two years (Art.07) and report on progress in the implementation of the Convention every four years (Art.15)



OBJECTIVE TREE

END	
Ontime review and update of the NIPs allow access to international/national funding for NIP implementation	Increased effectiveness of the Stockholm Convention in reducing POPs emissions and protecting the human health and the environment from POPs
Parties to the SC able to complete their NIP updates as per the existing timeline under the SC when new chemicals are listed to the Convention	Sustainable system leads to the independence of developing countries in relying on external resources to assess their national POPs situation and review and update their NIPs

SOLUTION
Parties to the SC have the capacity and system in place for a cost-efficient and less time consuming NIP review and update (Art.7) and reporting on Art.15

MEAN 1
Parties to the SC are able to review and update their NIP every two years (Art.07) and report on progress on the implementation of the Convention every four years (Art.15)



Appendix J. Country Baseline Assessments

1- Ethiopia

Environment Protection Authority

1. Country status on transmitted NIPs and ratified amendments

a. Transmitted NIPs

NIP	Transmitted?
Initial NIP	Yes
COP 4 Amendments	Transmission pending
COP 5 Amendments	Transmission pending
COP 6 Amendments	No
COP 7 Amendments	No
COP 8 Amendments	No
COP 9 Amendments	No

b. Ratified amendments

Chemical Amendments	Ratified (Yes/no)
Alpha Hexachlorocyclohexane	Yes
Beta Hexachlorocyclohexane	Yes
Chlordecone	Yes
Hexabromobiphenyl	Yes
Hexabromodiphenyl ether and heptabromodiphenyl ether	Yes
Lindane	Yes
Pentachlorobenzene	Yes
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride (2009 amendment)	Yes
Tetrabromodiphenyl ether and Pentabromodiphenyl ether	Yes
Endosulfan	Yes
Hexabromocyclododecane	Yes
Hexachlorobutadiene; Annex A	Yes
Pentachlorophenol and its salts and esters	Yes
Polychlorinated naphthalenes	Yes

Decabromodiphenyl ether	Yes
Short-chain chlorinated paraffins	Yes
Hexachlorobutadiene; Annex C	Yes
Dicofol	Yes
Perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds	Yes
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride (2019 amendment)	Yes

2. Current POPs management situation

a. Quantities of chemicals identified

Chemical Amendments	Quantity of chemicals identified	Inventory year
Alpha Hexachlorocyclohexane	-	
Beta Hexachlorocyclohexane	-	
Chlordecone	-	
Hexabromobiphenyl (HBB)	-	
Lindane	-	
Pentachlorobenzene (PeCB)	-	
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride	-	
POP-PBDEs	-	
Endosulfan	-	
Hexabromocyclododecane (HBCD)	-	
Hexachlorobutadiene (HCBD)	-	
Pentachlorophenol and its salts and esters	-	
Polychlorinated naphthalenes (PCN)	-	
Short-chain chlorinated paraffins (SCCP)	-	
Dicofol	-	
Perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds	-	
12 Initial POPs		
Aldrin	2,159.0 kg	2005
Chlordane	2,591.0 kg	2005
DDT	160,573 kg active and 55,720 kg obsolete	2005
Dieldrin	2,822.0 kg	2005
Endrin	-	

Heptachlor	7,043.0 kg	2005
Hexachlorobenzene (HCB)	-	
Mirex	-	
Toxaphene	-	
Polychlorinated biphenyls (PCB)	2505 transformers, 40 capacitors and 1,182,922 kg of dielectric fluids imported before 1989	2003
Dioxins (PCDD) and Furans (PCDF)	214.7 g TEQ/a	2003

b. Chemical management

No reliable data or record of past imports and use of Annex A POPs pesticides exists in the country and it is difficult, therefore, to determine the extent of their use in the past, although a significant amount of such pesticides is found as stockpiles and wastes together with other pesticides in some parts of Ethiopia. Starting from 1990, the Ministry of Agriculture began requiring registration of pesticide use in the country. Up until 2005, there has been no record of Annex A POPs pesticides being legally imported, produced or used in the country.

The initial inventory did not cover all stockpiles of pesticides in the country, the findings in the inventory were therefore considered preliminary and further inventory is required to come up with exhaustive and accurate information on the number of stockpiles and wastes of Annex A POPs pesticides found in the country.

Gofa main store of Ethiopian Power Corporation (EEPCO) located in Addis Ababa is the largest store of decommissioned transformers and capacitors. Due to poor management and handling of decommissioned equipment, and long years of open storage, the land in the vicinity of the main store and the nearby stream are believed to be contaminated by PCBs that have spilled over or discarded dielectric fluids. The lack of adequate fencing around the store gives easy access to the area for civilians, as well as animals, such as cattle and dogs.

Although a national inventory of equipment has been conducted, the exact quantity of PCB containing electrical equipment within the EEPCO system was not determined due to the lack of technical capacity.

As of the date of the initial NIP, it was known that DDT had been produced, imported and used in the country for malaria vector control. According to the preliminary inventory conducted, both active and obsolete DDT were found in stores across different parts of Ethiopia. The inventory has also indicated that the storage, use and handling of DDT was far from desirable and that there may be a high risk of impact on human health and the environment.

Regarding the releases of unintentional POPs, the result of the inventory indicated that “uncontrolled combustion process” is the major contributor to PCDD/PCDF emissions amounting to 92 gm TEQ/annum followed by “Waste Incineration” releasing an annual emission of about 56 gm TEQ/annum. The main contributor to the “uncontrolled combustion processes” category was the uncontrolled domestic waste burning which is composed of solid waste generated and burnt in twelve towns of the country, followed by the solid waste generated and burnt by the industrial enterprises of Ethiopia.

3. Aspects to be strengthened in order to improve compliance with the Stockholm Convention/ Evaluation of POPs monitoring/control capacity

- The initial inventories were preliminary, updates are required to come up with sufficient and accurate information on the sources and the quantities of POPs in the country.
- Conducting inventories for the new POPs included in the Stockholm convention as amendments.
- Management and disposal of the Annex A POPs pesticides stockpiles and wastes in a safe and environmentally sound manner.
- Establishing local oil testing capacity by installing a laboratory equipped with testing devices, chemicals and required expertise in order to determine PCB concentrations in EEPCO's electrical equipment.
- Strengthening the national coverage of the inventory on PCB releases by further data collection within EEPCO and assessment of the industrial enterprises and commercial facilities.
- Further inventory coverage and disposal of DDT stockpiles and wastes as an immediate measure in accordance with the provisions of the Stockholm Convention.
- Establishing monitoring activities to ensure that the use of DDT is restricted to disease vector control in Ethiopia in accordance with the WHO guidelines and recommendations and devising action plans and strategies for safe, effective and affordable alternatives to use DDT for disease vector control.
- In the light of a suspicion of cases of illegal use of DDT for agricultural pest control, it is recommended that adequate storage, awareness raising and capacity building in the safe management, use and handling of DDT for indoor residual spraying is provided
- Actions to be taken for the environmentally sound management of high risk contaminated sites

4. Gender information

The country had issued the Sustainable Development and Poverty Reduction Strategy Program [SDPRP] in July 2002. The program recognizes the importance of environmental protection as a prerequisite for any development activity in the country. Environmental protection is however was treated under the document as one of the cross-cutting issues with little emphasis on its core concepts.

In response to those shortcomings, there was a move on behalf of the government to amend this programme with what is known as the Plan for Accelerated and Sustainable Development to End Poverty (PASDEP) in an effort to link the prevalent poverty with environmental concerns.

The major aim of the PASDEP is the realization of the Millennium Development Goals within the Ethiopian context, which in effect calls for integrating environmental goals with in the development agenda.

The PASDEP within its elaborate environmental component has encompassed the Environmentally Sound Development vision of the country. The vision is to bring about a self-reliant Ethiopian population with a high quality of life in a productive environment, which assures equity between genders and among generations. The strategic goals sought to achieve this vision are, among other things:

- Ensure community-led environmental protection and the sustainable use of environmental resources,
- Remove the adverse impacts of municipal waste
- Prevent environmental pollution
- Ensure proactively the integration of environmental and ethical dictates especially mainstreaming gender equity in development.

Further incorporation of gender considerations into the chemical management strategy is warranted.

2- Malawi Environmental affairs department
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1. Country status on transmitted NIPs and ratified amendments

a. Transmitted NIPs and ratified amendments

NIP	Transmitted (Yes/no)
Initial NIP	Yes
COP 4 Amendments	Yes
COP 5 Amendments	Yes
COP 6 Amendments	Yes
COP 7 Amendments	Yes
COP 8 Amendments	Yes
COP 9 Amendments	No

Chemical Amendments	Ratified (Yes/no)
Alpha Hexachlorocyclohexane	Yes
Beta Hexachlorocyclohexane	Yes
Chlordecone	Yes
Hexabromobiphenyl	Yes
Hexabromodiphenyl ether and heptabromodiphenyl ether	Yes
Lindane	Yes
Pentachlorobenzene	Yes
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride (2009 amendment)	Yes
Tetrabromodiphenyl ether and Pentabromodiphenyl ether	Yes
Endosulfan	Yes
Hexabromocyclododecane	Yes
Hexachlorobutadiene; Annex A	Yes
Pentachlorophenol and its salts and esters	Yes
Polychlorinated naphthalenes	Yes
Decabromodiphenyl ether	Yes
Short-chain chlorinated paraffins	Yes
Hexachlorobutadiene; Annex C	Yes

Dicofol	Yes
Perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds	Yes
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride (2019 amendment)	Yes

2. Current POPs management situation

a. Quantities of chemicals identified

Chemical Amendments	Inventory year	Quantity of chemicals identified
Alpha Hexachlorocyclohexane		Not inventoried.
Beta Hexachlorocyclohexane		Not inventoried.
Chlordecone		Not inventoried.
Hexabromobiphenyl (HBB)		Not inventoried.
Lindane		Not inventoried.
Pentachlorobenzene (PeCB)		Not inventoried.
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride		3229 L of Aqueous Film Foaming Foam
POP-PBDEs	2016 (WEEE) and 2014 (vehicles)	13-37t of c-octa BDE in in-use/stored EEE 0.43-7.2t of c-octa BDE in WEEE generated in 2016 0.26t of POPs PBDEs in registered vehicles in 2014
Endosulfan		Not inventoried.
Hexabromocyclododecane (HBCD)		Not inventoried.
Hexachlorobutadiene (HCBD)		Not inventoried.
Pentachlorophenol and its salts and esters		Not inventoried.
Polychlorinated naphthalenes (PCN)		Not inventoried.
Short-chain chlorinated paraffins (SCCP)		Not inventoried.
Dicofol		Not inventoried.

Perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds		Not inventoried.
12 Initial POPs		
Aldrin		Not inventoried.
Chlordane	2016	656 L discovered by survey and 837 L discovered by site vits following this survey.
DDT		Not found.
Dieldrin		Not inventoried.
Endrin		Not inventoried.
Heptachlor		Not inventoried.
Hexachlorobenzene (HCB)		Not inventoried.
Mirex		Not inventoried.
Toxaphene		Not inventoried.
Polychlorinated biphenyls (PCB)	Not given – 2019 is date of the NIP	500 obsolete potentially PCB contaminated transformers 29 drums of 20L containing potentially PCB contaminated transformer oil
Dioxins (PCDD) and Furans (PCDF)	2017	101.592g TEQ/year

b. Chemical management

Even though the use of some POPs pesticide is banned in Malawi, their illegal use and trading continues. Chlordane is still being used in the construction industry for termite control although the product was banned in 2016 on a phase-out approach. Some organisations are testing different alternatives e.g. aldicarst, carbosulfan and dursban.

Malawi does not have formal landfills or dumpsites and incinerators, nor does it have formal car dismantlers or recyclers. ELVs are stripped down in garages for reusable parts and metal recycling. The non-metallic and unsold parts are usually found within the garage premises, others burnt in open air or thrown away in informal disposal sites. These garages can be found in business areas as well as in private homes.

Malawi does not have waste treatment facility sites, and therefore dumping sites are potentially PFOS contaminated sites. In their latest NIP, five of these potentially contaminated dumping sites have been identified.

In general, increased dioxins and furans releases are due to the increasing economic activities and population of the country. The main contributing factors for the high releases to air, products and residues were waste disposal activities, miscellaneous activities, open burning activities, heat and power generation, production of mineral products and waste incineration. The most important uncontrolled combustion activities that

contribute to emissions are landfill fires and domestic waste burning. The tendency to scavenge various products back to homesteads further enhances releases and exposure.

In 2004, labels were placed on transformers suspected to contain PCBs, but could not be found on most of the transformers during the process of updating the NIP inventory.

c. Progress of implementation plan

Upon the development of the first NIP in 2005, some notable achievements have been realised. The highlights are the following:

- Development of the Environment Management (Waste Management and Sanitation) Regulations; Environment Management (Chemicals and Toxic Substances) Regulations; and Compliance and Monitoring Strategy;
- Enhancement of the institutional and human capacity for sustainable management of POPs pesticides; for management of PCBs; in monitoring, management and control unintentional releases of POPs; for public awareness, information and education; and in handling POPs stockpile and wastes;
- Promotion of research and development on use of alternative methods of household fuel for cooking and or energy saving technology e.g. clean cook stoves, energy saver electric bulbs;
- Identification and quantification of POPs stockpiles, articles in use and wastes;
- Development of safe handling and disposal procedures of articles in use;
- Development and implementation of a strategy for greater stakeholder participation in information exchange;
- Creation of awareness among the public, policy and decision makers including traditional authorities, women and children on risks associated with POPs and POPs contaminated materials;

Malawi currently participates in a project that aims to eliminate use of PCBs containing equipment entitled “Disposal of PCB oils contained in transformers and disposal of capacitors containing PCBs in Southern Africa”. Under this project, the Electricity Supply Commission of Malawi (ESCOM) will verify the presence of PCBs in all its transformers and stockpiles of used oil. Of those found to contain PCBs, the concentration will be determined and their environmentally sound management and disposal will be carried out.

3. Aspects to be strengthened in order to improve compliance with the Stockholm Convention/ Evaluation of POPs monitoring/control capacity

Some of the key challenges encountered during the implementation of the 2005 NIP were the weak enforcement of POPs legislation, PCBs and other new POPs; the control of importations of POPs containing products due to lack of knowledge by the customs officers and importers on POPs and POPs importation requirements; low public awareness; lack of continuity in capacity building, specialized skills, appropriate analytical equipment, and designated waste disposal facilities; limited mechanisms for information exchange; and low access to available information resources.

Malawi has undertaken several studies to determine the presence of some of the POPs in the environment. In its latest NIP, three studies are presented that discuss the levels of POPs pesticides, and organochlorine residues in different lakes and streams.

The NIP update inventory on PCBs did not cover open applications such as sealants or paints and coatings that may contain PCBs. This would need to be carried out.

The country has the capacity and capability for data collection, analytical testing of chemicals, risk assessment, risk reduction, research into alternatives, monitoring and enforcement. However, there is currently no infrastructure for handling POPs stockpiles and waste in the country. To date, no obsolete POPs or stockpiles have been disposed of in Malawi as there are no facilities for POPs or other hazardous waste disposal. The country has limited capacity to undertake remediation of contaminated sites.

Malawi has prioritised the following project areas: creation of an enabling environment supportive of POPs management; public awareness and information exchange; health and environmental impact assessment of POPs; strengthening institutional capacity; management of POPs pesticides, obsolete stockpiles, POPs wastes and contaminated sites; POPs alternatives and technology transfer; and local, regional and international networking.

4. Other relevant comments/recommendations/lessons learned from the NIP report

Lessons learned from the 2005 NIP are the following: institutional and sectoral coordination is crucial in ensuring proper management of POPs, sharing of data amongst institutions is key, proper documentation of products is vital, and ability to verify POPs in products is also crucial.

The establishment of the PBDE inventory was challenging, mainly due to the lack of national data and statistics on PBDEs, and poor communication infrastructure among stakeholders. The challenges for the establishment of a PFOS inventory included poor inter-agency collaboration, a lack of detailed data on imports, and the ability to verify presence of PFOS in suspected products.

5. Gender information

Out of the 85% of rural households engaged in the agricultural sector, women provide 70% of the workforce and produce 80% of the food for home consumption. Their high involvement in the sector and other industrial activities may expose them more to the hazards of chemicals than men.

3- Zambia

Environmental Council of Zambia (ECZ) under the Ministry of
Tourism, Environment and Natural Resources (MTENR)

1. Country status on transmitted NIPS and ratified amendments

a. Transmitted NIPS

NIP	Transmitted (Yes/no/pending)
Initial NIP	Yes
COP 4 Amendments	Pending
COP 5 Amendments	Pending
COP 6 Amendments	No
COP 7 Amendments	No
COP 8 Amendments	No
COP 9 Amendments	No

b. Ratified amendments

Chemical Amendments	Ratified (Yes/no)
Alpha Hexachlorocyclohexane	Yes
Beta Hexachlorocyclohexane	Yes
Chlordecone	Yes
Hexabromobiphenyl	Yes
Hexabromodiphenyl ether and heptabromodiphenyl ether	Yes
Lindane	Yes
Pentachlorobenzene	Yes
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride (2009 amendment)	Yes
Tetrabromodiphenyl ether and Pentabromodiphenyl ether	Yes
Endosulfan	Yes
Hexabromocyclododecane	Yes
Hexachlorobutadiene; Annex A	Yes
Pentachlorophenol and its salts and esters	Yes
Polychlorinated naphthalenes	Yes
Decabromodiphenyl ether	Yes
Short-chain chlorinated paraffins	Yes
Hexachlorobutadiene; Annex C	Yes
Dicofol	Yes
Perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds	Yes
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride (2019 amendment)	Yes

2. Current POPs management situation

a. Quantities of chemicals identified

Chemical Amendments	Inventory year	Quantity of chemicals identified
Alpha Hexachlorocyclohexane		
Beta Hexachlorocyclohexane		
Chlordecone		
Hexabromobiphenyl (HBB)		
Lindane		
Pentachlorobenzene (PeCB)		
Perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride		
POP-PBDEs		
Endosulfan		
Hexabromocyclododecane (HBCD)		
Hexachlorobutadiene (HCBD)		
Pentachlorophenol and its salts and esters		
Polychlorinated naphthalenes (PCN)		
Short-chain chlorinated paraffins (SCCP)		
Dicofol		
Perfluorooctanoic acid (PFOA), its salts and PFOA-related compounds		
12 Initial POPs		
Aldrin	1980s	35 metric tonnes/year
Chlordane	1980s	5 metric tonnes/year
DDT	2000-2004	29,615 kg used for IRS
Dieldrin	1980s	100 metric tonnes/year
Endrin	1980s	5 metric tonnes/year
Heptachlor	1980s	0.2 metric tonnes/year
Hexachlorobenzene (HCB)		
Mirex		
Toxaphene	1980s	20 metric tonnes/year

Polychlorinated biphenyls (PCB)	2004	57 tonnes of contaminated soil 2,700 L of contaminated oil 76 contaminated transformers
Dioxins (PCDD) and Furans (PCDF)	2004	483.1g TEQ/a

b. Chemical management

As of the initial NIP in 2007, no POPs pesticides were locally produced. The countrywide inventory survey carried out in 2004 revealed that the country had been using about 165 metric tones of POPs pesticides annually before the mid 1980s. It was also noted that imported Chlordane is still in use for termite control mainly in the construction industry. In relation to storage, it was found that small scale farmers did not have proper storage facilities, whereas most commercial farmers, agrochemical distributors and construction industry storage facilities had modern structures with concrete floors, lockable doors, sufficient ventilation, lighting, and were located away from water catchments areas.

Disposal of pesticide containers was being done using various methods: crushing and burying of used containers, burning of plastics and paper packaging, throwing containers in pit latrines, and leaving containers unattended or thrown away in shallow pits. In the construction sector, empty containers were usually transported to dumping sites with the debris that accumulates during the construction process.

The DDT used in the country was packed in plastic sachets, once the content was used, the resulting packaging material became an environmental challenge when it came to disposal. This is exacerbated by the lack of sound disposal facilities in the country. As of the initial NIP in 2007, all empty sachets were stored pending appropriate disposal in accordance with the Hazardous Waste (HW) Management Regulations SI No 125 of 2001.

The 2004 national inventory revealed that there were 15 262 transformers and 1 642 capacitors countrywide, mostly owned by electrical utilities and mining companies. Out of this number, 76 transformers were PCB-containing and these were stored at Kariba North Bank and Konkola Copper Mines, in addition to 57 tonnes of PCBs contaminated soil and 2 700 litres of PCB-oil was stored in drums at Kariba North Bank and ZCCM – IH, in accordance with the regulations which include requirements for their proper storage.

According to the 2004 national inventory, the major release routes for PCDDs/PCDFs were air, land and residue. The total amount of PCDDs/PCDFs released to these vectors was estimated at 483.1g TEQ/a and this was broken down as follows: air 289.7g TEQ/a; residue 144.9g TEQ/a; land 48.4g TEQ/a. The single, largest source of these releases was uncontrolled combustion processes i.e. forest fires and open-air burning, which emitted significant amounts to all the release vectors. This was followed by ferrous and nonferrous metal production which made significant contributions to the amount of PCDDs/PCDFs released to air and residue. The next major source of releases was from waste incineration which contributed mainly to the emissions to air and residue. There are currently no guidelines specific to Dioxins and Furans emission reduction in Zambia, though the

EPPCA provides for monitoring of air pollutants on a general basis. The process of developing the guidelines, has been initiated at the date of submission of the initial NIP. It was envisaged that these guidelines would further be transposed into legislation.

c. Progress of implementation plan

3. Aspects to be strengthened in order to improve compliance with the Stockholm Convention/ Evaluation of POPs monitoring/control capacity

The following were some of the priority issues identified in the management of POPs in Zambia:

- Development of a system for management and control of Chlordane.
- Development of an effective system for the management of PCBs.
- Evaluation of the persistence of DDT in different matrices including soil, water, food and breast milk.
- Strengthening of the existing legal framework in order to address PCDD and PCDF releases.
- Updating inventories of legacy POPs and conduction of inventories for new POPs

4. Relevant stakeholders

Governmental stakeholders:

- Ministry of Tourism, Environment and Natural Resources (MTENR)
- Ministry of Health (MoH)
- Ministry of Labour and Social Security (MLSS)
- Ministry of Agriculture and Co-operatives (MACO)
- Ministry of Mines and Minerals Development (MMMD)
- Ministry of Science, Technology and Vocational Training (MSTVT)
- Ministry of Education (MoE)
- Ministry of Commerce, Trade and Industry
- Ministry of Energy and Water Development

Non-governmental stakeholders:

- Zambia National Farmers Union (ZNFU)
- Wildlife Conservation Society of Zambia (WCSZ)
- Citizens for Better Environment (CBE)
- Zambia Congress of Trade Unions (ZCTU)
- Women for Change
- Christian Children for Zambia (CCFZ)

5. Gender information

Gender considerations have not yet been assessed as a factor of influence on the chemical management and waste disposal in the original NIP prepared by the country. Further incorporation of gender considerations into the chemical management strategy is warranted in the update.