

1- Identification

1.1 Project details

GEF ID	5532	SMA IPMR ID	127718
Project Short Title	SADC PCB	Grant ID	S1-32GFL-000632 / P1-33GFL-000952
		Umoja WBS	SB-001062.01.05.01
Project Title	Disposal of PCB Oils Contained in Transformers and Disposal of Capacitors Containing PCB in Southern Africa		
Project Type	Full Sized Project (FSP)	Duration months	Planned 60
Parent Programme if child project			Age 84.3 months
GEF Focal Area(s)	Chemicals and Waste	Completion Date	Planned -original PCA 31-Jul-22
Project Scope	Regional		Revised - Current PCA 30-Jun-24
Region	Africa	Date of CEO Endorsement/Approval	1-Jun-16
Countries	Botswana, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, Swaziland, Tanzania, Zambia, Zimbabwe	UNEP Project Approval Date (on Decision Sheet)	29-Jul-16
GEF financing amount	USD 7,710,000	PCA entering into force	31-Aug-16
Co-financing amount	USD 34,661,319	Start of Implementation (Date of 1st Disbursement*)	1-Nov-16
		Date of Inception Workshop, if available	6-7-Oct-16
Total disbursement as of 30 June	USD 3,727,576	Midterm undertaken?	Yes
Total expenditure as of 30 June	USD 3,046,278	Actual Mid-term Date, if taken	2-Sep-19
		Expected Mid-Term Date, if not taken	/
		Expected Terminal Evaluation Date	30-Jun-25
		Expected Financial Closure Date	30-Dec-25

* As per Legal Agreement signed with the EA, project effectiveness is defined as "the date of receipt of first disbursement or sub-allotment".

1.2 EA: Project description

The **Project Objective** is to reduce environmental and human health risks from PCB releases through the demonstration of a regional approach to the introduction of cost-effective and socially acceptable environmentally sound management (ESM) of PCB oils, equipment and wastes held by electrical utilities and other PCB owners in participating countries. The project and its proposed activities are consistent with the GEF-5 Chemicals Results Frameworks' goal "to promote the sound management of chemicals throughout their life-cycle in ways that lead to the minimizations of significant adverse effects on human health and the global environment." In particular, the project will contribute to Objective 1 "Phase Out POPs and Reduce POPs Releases"

The project is Implemented by UNEP and executed by Africa Institute in the 12 countries namely Botswana, Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, Swaziland (now Eswatini), Tanzania, Zambia and Zimbabwe in partnership with Southern African Power Pool (SAPP). It has been designed and executed under **four components**:

Component 1: Enhancement and harmonization of national regulatory infrastructure and sustainable Mechanisms. In this component the National regulation and international requirements would be identified in the 12 participating countries including infrastructure and enforcement capacities resulting in a regionally harmonized approach for the environmentally sound management of PCB oils, equipment and wastes, such that National regulations in 12 countries on the ESM of PCB and PCB wastes in the context of the Stockholm and Basel Conventions would be updated and brought to a common standard.

Component 2: Enhanced capacity for ESM of PCB containing equipment in service. Detailed inventories of PCB containing oils and equipment held by utility and private companies in 12 participating countries would be developed (in use and in waste) with the outcome that monitoring PCB containing equipment in service and tracking system be established to follow until final phase out of PCB in electrical equipment in the 12 participating countries

Component 3: Regional mechanism for ESM of decommissioned and phased out PCB liquids and equipment. Training of utilities for collection, draining and transport of PCB contaminated transformers would be undertaken and two thousand metric tonnes (2000t) of PCB oil, PCB contaminated oil, and PCB equipment would be stored and decontaminated at national facilities and at least 1,000 capacitors containing PCB oil identified and collected for export, while 500t of Askeral transformers, capacitors, and PCB contaminated oil (concentrations >2000ppm) would be exported for destruction at a dedicated facility, all towards PCB and PCB containing equipment disposed of in an environmentally sound manner in accordance with the Stockholm Convention from 12 countries, and verified through independent monitoring.

Component 4: Stakeholder engagement and information exchange to facilitate dissemination of lessons learned, and development of regional capacity to finalize phase out of PCB and model developed for replication.

The planned outcome of this component is that Stakeholders are aware of the need to phase out PCBs in an environmentally sound manner and best practices developed for implementing ESM for ongoing management of in-use transformers in project countries, and for subsequent projects. To this end National and regional communications / outreach / awareness strategies would be developed and implemented. Lessons learnt framework would also be developed for replication and extension at national level following adoption by national authorities.

1.3 Project Contact

Division(s) Implementing the project	Industry and Economy Division, GEF Chemicals and Waste Unit	Executing Agency(ies)	Africa Institute
Name of co-implementing Agency		Names of Other Project Partners	UNEP Knowledge and Risk Unit
TM: UNEP Portfolio Manager(s)	Ludovic Bernaudat	EA: Manager/Representative	Thabo Moraba
TM: UNEP Task Manager(s)	Russell Cobban	EA: Project Manager	Thandeka Mbatha
TM: UNEP Budget/Finance Officer	Anuradha Shenoy	EA: Finance Manager	Daphney Tshipepele
TM: UNEP Support/Assistant		EA: Communications lead, if relevant	

2- OVERVIEW OF PROJECT STATUS

2.1 UNEP PoW & UN

TM: UNEP Current Subprogramme(s)

Chemicals and Pollution Action

TM: UNEP previous Subprogramme(s)

n/a

TM: PoW Indicator(s)

PoW Outcomes: 3A, 3B and 3C
 PoW Outcome Indicators: i, ii, iii, iv, v and vi
 Direct outcomes to which project contributes: 3.1, 3.2, 3.5, 3.9, 3.10, 3.11, 3.13

EA: UNSDCF/UNDAF linkages

The objective of the UNDAF is to maximize individual and collective impact of all UN programmes of assistance in support of the national plans and priorities of recipient Governments.
 Chemicals and waste are integral to almost all sectors of society, and their sound management is essential for protecting human and environmental health. This is the case in the participating countries. The project also aims to enhance the collaboration and coordination of system wide operations in improving efficiency and effectiveness of UN development assistance to all participating countries, it brings together Environment, power supply and the general national governance in environmental management.

EA: Link to relevant SDG Goals

Environmentally sound management of "toxic chemicals" is the topic of Chapter 19 of Agenda 21.

A substantial use of chemicals is essential to meet the social and economic goals of the world community. Since chemicals are primarily source of pollution, climate change and disease burden, the project thus has direct links to SDGs through preventing or minimizing the generation and use of hazardous chemicals and wastes as part of an overall integrated cleaner production approach and eliminating or reducing to a minimum transboundary movements of hazardous waste; thus wroking towards the following goals:

Goal 3 - Good health and wellbeing; 6-Clean water and sanitation;
 Goal 7 - Affordable and clean energy;
 Goal 12 - Responsible consumption and production;
 Goal 13 - Climate action;
 Goal 17-Partnerships for the goals
 Given that chemicals and waste affects all aspects of development, the sound management of PCBs and their waste is relevant and support the implementation of many other, if not all SDGs.

EA: Link to relevant SDG Targets

SDG 3
 Targets: 1.1; 1.3; 1.4; and 1.5
 SDG 7
 Targets: 7.1; 7.3; 7.a; and 7.b
 SDG 12
 Targets: 12.1; 12.2; 12.4; 12.5; 12.5; 12.6; 12.7; 12.8; and 12.a
 SDG 13
 Targets: 13.2; 13.3; 13.a and 13.b
 SDG 17
 Targets: 17.2; 17.3; 17.4; 17.5; 17.6; 17.7; 17.8; 17.9; 17.15; 17.16; 17.17 and 17.18

Indicators

TM: GEF core or sub indicators targeted by the project as defined at CEO Endorsement/Approval, as well as results

Indicators	Targets - Expected value			Materialised to date
	Mid-term	End-of-project	Total Target	

2.2. GEF Core or Sub

				N/ A (This is a GEF - 5 Project)

Implementation Status 2023 7th PIR

	PIR #	Rating towards outcomes (DO) (section 3.1)	Rating towards outputs (IP) (section 3.2)	Risk rating (section 4.2)
FY 2023	7th PIR	MS	MS	M
FY 2022	6th	MS	MS	M
FY 2021	5th	MS	MS	M
FY 2020	4th	MS	S	M
FY 2019	3rd	MU	MU	M
FY 2018	2nd	MU	MU	M
FY 2017	1st	MS	MS	L

EA: Summary of status
(will be uploaded to GEF Portal)

The project was extended in the previous reporting year. The extension which was approved because of initial delays in implementation caused by inertia following inception, COVID-19 pandemic, procurement delays, and significant increase of disposal costs post pandemic and due to instability caused by the war. A further extension may be necessary to complete pending activities. A summary of progress per component is provided below:

Component 1: Progressed satisfactorily in the reporting period. Following the 7th PSC meeting in Aug 2022, through efforts of the PM, TM and targeted technical assistance, satisfactory progress has been made. 9 countries have drafted their PCB phase out plans, while 2 countries namely Mauritius and Seychelles do not need the plans, and 1 country namely Madagascar is in the process of finalizing draft phase out plan. All project countries have concluded their legal framework reviews, and 3 (Zambia, Seychelles, Malawi) countries were found to have satisfactory legal framework covering PCBs; the rest of the countries are at various stages of getting approval/endorsement of the legal framework amendments/additions (~100%).

Component 2: Progressed satisfactorily in the reporting period. All countries have confirmed their final inventories for collection by disposal contractor except for Tanzania. Several countries were unable to sample pole-mounted equipment during their inventories. The budget and workplan review during 7th PSC accounted for the sampling of pole-mounted equipment which will start Q3 2023. National and regional databases will be updated accordingly (~70%).

Component 3: Delayed compared to schedule. The disposal contractor completed site visits (on-site verification of inventory) in all countries except for Zambia. Most significant, is that site verification of PCB quantities conducted as part of the safeguarding and disposal contract were finalized by the contractor. This has shown that the quantity of PCB encountered on the ground, at 415 tons, varies significantly from the figures presented in the original project document, at 4,249 tons. This is because inventory data from NIP/National reports referred to during the project development stage do not reflect actual inventory on site. Furthermore, the trial of online low temperature PCB extraction was not successful which was conducted by international contractor after completion of tendering process. Therefore, the project is focussing on export for disposal of the maximum possible quantities of PCBs within project's available budget. At the same time inflation arising post-COVID and because of instability in in some parts of the world have resulted in substantial price rises related to safeguarding and disposal. The safeguarding and disposal rate in the original project document is \$4,570 per ton while that submitted by the Contractor at bid stage is \$10,136 per ton. More recently, the contractor has claimed for additional costs due to a further increase of prices due to inflation pressure at various stages of safeguarding, transportation and disposal since development of their bid. Negotiations for a potential contract amendment to cover the cost increase and additional tonnage of PCBs are on-going and is delaying further progress. The EA and IA are making efforts to finalize the amendment on priority and is expected to complete during early Q4 2023. The contractor has begun the process of submitting the Basel Notification request for some of the countries. The Notification has been issued for 7 (Lesotho, Madagascar, Mozambique, Namibia, Seychelles, Zambia and Zimbabwe) countries have issued consent, whereas 3 (Malawi, Tanzania, Eswatini) have not been submitted yet, and 1 (Botswana is to be filed) (~50%).

Component 4: Satisfactory progress during reporting period. 10 countries have successfully completed their risk awareness and communication activity submitted reports with evidence of materials developed, 1 country (Seychelles) is yet to conduct activities, and 1 (Mauritius) country was not required to undertake activities. SAPP signed contract (MoU) and work has been delayed due to staff turnover, however they have appointed a consultant to undertake risk communication and awareness raising task, as well as generation of SOPs. A gender mainstreaming strategy and action plan was drafted to support gender integration in disposal of PCB (~85%).

Regarding financial progress of the project during the reporting period, the actual reported expenditure (~\$360,957) was significantly lower than forecasted amount (\$469,439). This is due to delays related to slower than expected progress in the field including difficulty in verifying national inventories delay in receiving Basel Notification consents. The EA was therefore unable to make disbursements to national consultants for activities conducted. To address these challenges, the IA is holding monthly meetings with the EA and fortnightly meetings with contractor and providing necessary facilitation / support including field visits to countries. The project risks including reporting of co-finance are closely monitored and evaluated from time to time by EA and IA and necessary steps are undertaken. It is expected to achieve significantly improved progress in the coming year with a possibility of another extension to complete the disposal activities which are highly dependent on several factors including Basel Notification, Shipping line availability, release of equipment by utilities etc.

EA: Planned Co-finance

USD 34,661,319

EA: Actual to date:

USD 2 919 081

2.4 Co-financ

EA: Justify progress in terms of materialization of expected co-finance. State any relevant challenges.

Difficulties have been encountered in achieving co-financing levels committed in the project document. The EA has been working closely with countries that are struggling to account co-financing and help them understand the template, as well as to provide guidance on how to calculate co-finance. A training event is yet to be planned around co-financing. Some countries, will be investing into equipment replacement, before collection of contaminated equipment occurs which will improve reporting.

2.5. Stakeholder

EA: Date of project steering committee meeting

30-31-Aug-22

EA: Stakeholder engagement (will be uploaded to GEF Portal)

SAPP is the sub regional association of utility companies for SADC countries and as identified as a key stakeholder in the project it is a member of the Steering Committee. SAPP has signed an MOU to undertake a capacity strengthening leg of risk communication and capacity building in the Utilities and to further assist in the provision of personnel and equipment for collection of contaminated oils and equipment. SAPP appointed a consultant to undertake regional risk communication and awareness raising activities, as well as develop guideline materials. SAPP holds monthly meeting with Utilities where the awareness around the PCB project is discussed. KRU (UNEP TTA) have been contiuously providing technical support to countries with regards to their Phase out Plans. Countries are continuing to engage wider stakeholders with regard to phase out plans and legal reforms to address ESM of PCBs as per compiled review. Monthly calls with SAPP, country focal points and utility representatives are held, although attendance is low. Biweekly communication have been held with disposal contractor as well as frequent meetings held with utilities ahead of the collection. GEF focal points attended and contributed to the PSC meeting in 2022.

2.6. Gender

TM: Does the project have a gender action plan?

Yes

EA: Gender mainstreaming (will be uploaded to GEF Portal)

Gender mainstreaming has to a lesser degree been evaluated and only in so far as the vulnerable groups are assessed at country levels. The most vulnerable groups have been found to be workers/technicians in the utility companies and school children who may be exposed to leaking transformers in their own yards. Vulnerable groups such as children, women and workers in utility companies has been receiving targeted risk communication through schools, community based organization and SAPP for utilities. Continuing TV and radio program are focusing more on these groups. The management review had identified that the original project documentation did not include a gender and human-rights based approach. Development of a coordinated strategy is included in the scope of the Targeted Technical Assistance being provided by UNEP. As part of the Gender Mainstreaming Strategy and Action Plan developed a basic-training workshop session was held on October 8th, 2021. This training aimed to help countries have a better understanding of the interplay between sex, gender and exposure to PCBs, and from another side to identify relevant entry points for mainstreaming gender considerations while planning and implementing PCB phase-out interventions. A gender mainstreaming strategy and action plan was drafted to support gender integration in disposal of PCB. Gender Action Plan developed with training delivered. The action plan is pending UNEP publication approval.

2.7. ESSM

TM: Was the project classified as moderate/high risk at CEO Endorsement/Approval Stage?

No

TM: If yes, what specific safeguard risks were identified in the SRIF/ESERN?

TM: Have any new social and/or environmental risks been identified during the reporting period?

No

TM: If yes, please describe the new risks, or changes

TM & EA: Has the project received complaints related to social and/or environmental impacts (actual or potential) during the reporting period?

No

TM & EA: If yes, please describe the complaint(s) or grievance(s) in detail including

2.8. KM/Learning

EA: Environmental and social safeguards management
(will be uploaded to GEF Portal)

Environmental and social safeguards are undertaken under the preview of risk communication and restricting access to known sites containing PCB contaminated equipment. The EA has been given assurance that disposal of PCB wastes through auctioning of equipment has been stopped in all countries now that project is set to dispose available wastes. An identified concern is theft and vandalism of equipment. Countries have experienced theft of equipment, some of this equipment was confirmed to have been PCB contaminated. Safe storage of these equipment remains vital. The international tender for disposal of equipment is subject to rigorous environmental and health and safety standards that are part of UNEP's procurement service standard. There have been no reported cases in the current period of theft or vandalism of equipment.

EA: Knowledge activities and products
(will be uploaded to GEF Portal)

A dashboard has been developed following the inventory verification and fulfill all requirements and good practices in the ESM of PCBs is being documented for sharing in various platform. The MapX program has been put on hold for broader integration. The dashboard can be accessed at <https://app.powerbi.com/viewr=eyJrjoiYzE4NzZhNDItYzgxZC00NDImLWI4MjYtN2JhMTg0N2YzMTAyliwidCI6jBmOWUzNWRiLTU0NGYtNGY2MC1iZGNjLTViYTQxNmU2ZGM3MCIslmMiOjh9> Mahmut developed a questionnaire and collecting input from questionnaires and updated phase out plans. Many comments received and reviewed. Darft shared of LL report and inputs being consolidated. Final version to be shared. A consultant is being recruited to support the development of a human-rights based approach roadmap (ToR developed).

Please attach a copy of any products

EA: Main learning during the period

Utility companies in some countries have resisted the release of contaminated equipment. This is related to the intrinsic commodity value of the copper and steel contained in them in addition to the replacement cost of new equipment. Whenever possible the project is reminding these countries of co-finance commitments as well as legal obligations of each country to the Basel and Stockholm conventions in addition to the underlying risks that the equipment poses to human health and the environment going forward. The project has integrated these considerations into Phase out plans which has been supported by a cost benefit analysis highlighting the cost savings through installation of new and more efficient equipment. Additionally, the project has made effort towards identifying donors exterior to the project that maybe able to provide funds for replacement.

2.9. Stories

EA: Stories to be shared
(section to be shared with communication division/ GEF communication)

Unprecedented challenges brought on by the COVID pandemic including the inability to maintain face to face communication caused a slowdown in execution of various activities. This was seen at the 6th PSC meeting particularly where countries expressed how they had experienced a loss of momentum with regard to the project. Innovative ways of risk communications were developed during COVID restrictions using media more and more interactively to get target groups to participate thereby grasping the messages more and effectively. Countries seem to prefer physical interactions rather than virtual, with COVID 19 related restrictions easing out in most countries, participation in project activities has seemed to be increasing slowly. They have been working tirelessly with AI and Tredi ahead of the equipment collection. A report is being prepared to summarize the lessons learnt and to promote good practices. Countries filmed self-filmed videos which were shared at COP side event as well as other platforms.

3. RATING PROJECT PERFORMANCE

3.1 Rating of progress towards achieving the project outcomes (Development Objectives)

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target or Milestones	End of Project Target	Progress as of current period (numeric, percentage, or binary entry only)	EA: Summary by the EA of attainment of the indicator & target as of 30 June	TM: Progress rating		
Objective									
To reduce environmental and human health risks from PCB releases through the cost effective and socially acceptable environmentally sound management (ESM) of PCB oils, equipment and wastes held by electrical utilities and other PCB owners in participating countries	No. of participating countries with legislative framework for ESM of PCB in place	Lack of legal background, administrative and technical capacities for ESM of PCB at national level limiting from participating countries to fulfil their obligations. Legislative review completed to varying extent in each countries' NIP. No disposal of PCB contaminated equipment; Risks for human health and environment remain	Legislation in 12 countries reviewed	12 countries legislation reviews and those found to be inadequate develop legislation; 12 countries complete Inventory verification and documentation in databases; Regional disposal plan developed and approved; 2000t of PCB Oils, equipment and wastes successfully disposed of; 2300 t of in-use PCB oils and equipment scheduled for replacement and ESM disposal in national phase out plans	75%	All countries have concluded their legal framework reviews, and 4 (Mauritius, Zimbabwe, Zambia, and Malawi) countries were found to have satisfactory legal framework covering PCBs; the rest of the countries are at various stages within their respective governments of getting approval/endorsement of the legal framework amendments/additions. The developed regulations are yet to be approved by law departments and relevant authorities in the countries.	MS		
	No. of countries have strengthened administrative and technical capacities, as well as PCB disposal plans (to 2025) in line with the Stockholm Convention		All inventories verified and database populated in full		95%			Final inventories are established in all countries (Botswana, Lesotho, Seychelles, Malawi, Tanzania, Madagascar, Zimbabwe, Eswatini, Zambia, Mozambique and Namibia). Zambia has to conduct their site visit to ground truth identified equipment. The regional disposal plan to be established before the end of 2023 and Phase out planned to 2025 being drafted. Mauritius has phased out PCBs.	S
	No. of tons contaminated equipment disposed of from 12 countries.		All available items as per database declared for availability for disposal.		60%			A contract for disposal of PCBs has been awarded to Tredi. The regional disposal plan is to be established in consultation with Tredi for countries with confirmed final inventories. Process leading up to collection is underway	MS
Outcome 1									
Outcome 1: National regulation and international requirements identified in 12 participating countries including infrastructure and enforcement capacities resulting in a Regionally harmonized approach for the environmentally sound management of PCB oils, equipment and wastes	No. of countries submit for adoption national regulation with minimum requirements of Stockholm and Basel Conventions supported by Guidance documents for different aspects of ESM of PCB	12 countries without proper legislative framework for management of PCB	Year 1: NCCs 8 established		4	4 countries have satisfactory PCB phase out regulations. The rest of the countries have drafted amended regulation/guideline, these are set to be reviewed/approved by parliaments.	MS		
	No. of regional action plan developed and adopted through appropriate means and processes at the regional level		Year 3: 12 countries submit legislation review and those inadequate regulations submit for adoption PCB regulation, which specifically prohibit resale of contaminated oil and units						

	No. of application of regional action plan in participating countries				9	National phase out plans drafted by 9 countries to date.	S
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Outcome 2

Outcome 2: 12 countries monitoring PCB containing equipment in service and tracking system established to follow until final phase out of PCB in electrical equipment	No. of regional template for inventory and tracking system development	Limited activities on PCB in the countries; No detailed inventories available; No phase out plan	12 countries complete Inventories	Year 5: 12 countries complete Inventories; 12 countries with information included in national databases; 12 countries' phase-out plans endorsed at national level by utility companies and other PCB containing equipment owners	1	A regional data base of contaminated equipment with locations for tracking at regional level has been displayed on a project dashboard. Pole-mounted or previously in service equipment to be sampled in 2023. Ongoing	S
	No. of countries to adopt and use template; No. of countries develop and adopt inventory verification plans				11	All countries have adopted verification plans, expect Zambia. To conduct site visit in Q3 2023	S
	Regional phase out plan detailed until 2025 in accordance with the phasing out priorities of Stockholm convention and Code of practice for the safe use of fully enclosed askarel-filled electrical equipment				9	National phase out plans drafted by 9 countries to date. Countries have had meetings with consultant on guidance on the Phase out Plans. Countries need to address comments by consultants and UNEP TTA, then finalise documents.	S

Outcome 3

Outcome 3: PCB and PCB containing equipment disposed of in an environmentally sound manner in accordance with the Stockholm Convention from 12 countries	500 tonnes exported for destruction in dedicated facility	No licensed PCB waste handling companies; PCB contaminated transformers and capacitors not managed and disposed in ESM; No independent monitoring PCB contaminated transformers and capacitors not managed according to ESM	Inventory of waste equipment for disposal confirmed; 1 agreed international transport and disposal contractor	Year 4: 500t of PCB oil and PCB equipment disposed of in licensed facility abroad. Year 6: Up to 3,800t contaminated oil dechlorinated locally	0	~497 tons to be released in 11 countries for disposal (exact tonnage to be established). Tredi processes ongoing ahead of actual collection and destruction of equipment.	MU
	1500 Tonnes of waste equipment treated in the region				0	The decontamination pilot contract under development where all remaining contaminated equipment and oils will be dechlorinated. Sea Marconi contract will not be extended and will progress with an alternative strategy; it is likely that inflationary pressure on prices will require use of these funds for export and disposal of PCB stock >500ppm.	MS

Outcome 4

Outcome 4: Stakeholders are aware of the need to phase out PCBs in an environmentally sound manner and best practices developed for implementing ESM for ongoing management of in-use transformers in project countries, and for subsequent projects	Vulnerable groups identified across the region, and changing behavior to reduce risks of PCBs	No regional PCB ESM reports, some regional learning and advice through SAPP. Minimal communication of risks as associated with PCBs to vulnerable people. Vulnerable communities remain unidentified. Utilities auction decommissioned equipment even if it may be contaminated by PCB		Year 4: vulnerable groups identified, and appropriate messages proposed by regional communications strategy endorsed for use at national level Year 5: national utilities sign declaration to gradually replace and prevent sale of contaminated equipment Year 6: owners of PCB in other sectors commit to replacing and preventing sale of contaminated equipment Year 6: Disseminated best practices for introduction of ESM taken up regionally and internationally;	95%	11 countries have developed and rolled out their risk communication strategies where by in large, workers in utility, school children and women were identified as vulnerable groups. Seychelles is the only country left to undertake awareness activities. A gender mainstreaming strategy and action plan was drafted to support gender integration in disposal of PCB. A training was organised in 2021 with project countries to present this gender action plan and to raise awareness on gender integration in the region. Publication request of this document has been approved by the publication committee of UNEP. It is expected to be published in Q4 2022. Self-filmed videos submitted by countries was played at BRS COPs 2023.	S
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	Utilities change practices to prevent contamination by PCB			25%	SAPP is undertaking a capacity building within Utilities. SAPP has appointed a consultant to develop PCB SOPs and training material. National cost-efficiency reports are being included in the national phaseout plans.	MU
	Lessons and best practices generated by the project adopted by PCB owners, private sector, regional agencies and regional associations and other stakeholders			100%	Three practices have been identified and recorded as lessons to be shared and learnt in the project. No additional work done in reporting period	S

For joint projects and where applicable ratings should also be discussed with the Task Manager of co-implementing agency.

3.2 Rating of progress implementation towards delivery of outputs (Implementation Progress)

Output	Expected completion date	Implementation status as of 30 June 2022 (%) (Towards overall project targets)	Implementation status as of 30 June 2023 (%) (Towards overall project targets)	EA: Progress rating justification, description of challenges faced and explanations for any delay	TM: Progress rating
Under Comp 1					
1.1 National regulations in 12 countries on the ESM of PCB & PCB wastes in the context of the Stockholm & Basel Conventions reviewed & brought to a common standard.	Dec-22	100% progress as legal reviews are completed and 50% regulations are yet to be developed in 5 countries	100%	Output indicator target: Regional draft regulation and guidelines developed 12 countries have revised regulation ready for adoption; 5 countries adopt PCB regulation Progress: 12 legal reviews are completed and 75% draft regulations are developed, but not adopted The review has indicated the gaps that need to be filled in all countries and the process of filling the gaps also identified and has been started. All 12 countries have completed the legal review and set out to update the regulations to close the gaps identified in national legislation. 6 draft regulations have occurred, all to be reviewed by Attorney General then submitted to parliament. 2 need to develop draft regulations/guidelines. 4 countries are considered to have sufficient regulations addressing PCBs.	S
1.2 Improved administrative capacity for controlling PCB in 12 participating countries	Dec-22	N/A	100%	Output indicator target: 120 inspectors and customs staff training; 250 responsible persons designated; 60 responsible persons designated; 12 countries establish national PCB databases; Progress: Completed	S
Under Comp 2					
2.1 - Detailed inventories of in-use PCB containing oils and equipment held by utility companies in 12 participating countries developed	Dec-22	95%	95%	Output indicator target: 12 national inventories completed Progress: 95% Current inventories indicating a total weight of contaminated equipment at 1 089 tons. Number of tonnes is less than previously recorded because previously all (decommissioned, in use and spare) equipment was considered, where as currently only in-use equipment was considered	S
2.2 - Stakeholder engagement plans for long term phase out of PCB containing oils & equipment held by other sectors in 12 countries developed & endorsed (in compliance with new regulations as per component 1)	Dec-22	70%	1	Output indicator target: 12 national "other sector" inventory verification plans developed and adopted Progress: 85% Nine draft Phase out Plans have been received and reviewed by experts. A chapter on cost-efficiency analysis has been added. Consultations with expert have taken place. These are yet to be finalised before they are endorsed.	S

2.3 - Phase out plan endorsed by utility companies and other PCB containing equipment owners	Sep-23		0	Output indicator target: 2 countries and utilities endorse phase-out plans Progress: 20% Phase out Plans have not yet been finalised for them to be endorsed.	S
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Under Comp 3

3.1 - Detailed inventories of waste PCB containing oils and equipment held by utility companies in 12 participating countries developed	Aug-22	95%	100%	Output indicator target: 12 national inventories completed Progress: 100% All countries have completed their inventories, however sampling have been extended under the new workplan to include pole mounted and in service equipment not previously sampled.	MS
3.2 - Training of utilities for collection, draining & transport of PCB contaminated transformers	Oct-22	0%	0	Output indicator target: Review of capacity and action plan to develop and utilize national capacity 12 facilities for national storage of PCB wastes available (before the collection and disposal phase) Progress: not started yet Tredi technical assistance to countries for environmentally sound temporary storage and disposal of PCB.	MS
3.3 - At least 500 tonnes of PCB contaminated equipment >2000ppm identified and collected for export/treatment(under Output 3.5)	Apr-23	30%	45%	Output indicator target: 500 tonnes collected and stored ready for final disposal Progress: 45% Disposal contractor has confirmed final inventories for disposal for 11 countries, total tonnage of 398. Not separated to dry and wet weight	MS
3.4 - Up to 3,800t of PCB contaminated oil <2000ppm identified and where possible removed from units for treatment as part of the long term phase out plan (Component 2)	Apr-23	5%	45%	Output indicator target: Year 6: 2,000t stored in national temporary storage Year 5: 500t stored in national temporary storage Progress: 20% Disposal contractor has confirmed final inventories for disposal for 11 countries, total tonnage of 398. The contract for low temperature on-line extraction of PCB from equipment did not prove successful and therefore was not extended. It was decided to spend resources on transport of stocks abroad for high temperature disposal.	MU
3.5 - PCB from transformers & full capacitors (expected 500t) exported for destruction at a dedicated facility	Jul-23	30%	40%	Output indicator target: 500t of PCB contaminated equipment exported for destruction at a dedicated facility (-ies) in a region and abroad 1 Agreed international transport and disposal tender Progress: 40% Contractor has conducted site visit where they verified equipment and conditions. Basel Notifications currently being submitted.	MS

Under Comp 4

4.1 National & regional communications / outreach / awareness strategies developed & implemented.	Dec-22	95%	100%	Output indicator target: Development of regional communication strategy: 1 Development of national communications strategies including risk analysis for vulnerable groups and gender analysis: 12 Risk communications and risk reduction awareness programs implemented at regional and national level: 13 Progress: 100% All countries have undertaken awareness strategies, however 10 countries have submitted materials. A project level communication strategy has been developed with presentations given and updates shared with countries in the monthly meetings. A number of communication materials including factsheet and videos are being developed to support awareness raising.	S
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<p>4.2. Lessons learnt framework developed for replication and extension at national level following adoption by national authorities.</p>	<p>Dec-22</p>	<p>70%</p>	<p>75%</p>	<p>Output indicator target: 3 Regional SC meeting reports and management review include lessons learnt and key experiences (no of reports = 4 Publication of brochure on project lessons and recommendations for phase out plan = 5 SAPP update of guidance on PCB =6 Best practices workshop held in conjunction with closing PSC with wide participation and publication of report of final results and findings= 7 Progress: 75%</p> <p>12 countries in attendance shared their lessons during 7th PSC meeting. A report was being prepared to summarize the lessons learnt and to promote good practices. Project dashboard developed fulfilling requirements. MapX discussion on hold on broader integration relevant projects.</p>	<p>S</p>
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The Task Manager will decide on the relevant level of disaggregation (i.e. either at the output or activity level).

4 Risk Rating

4.1 Table A. Project management Risk

Please refer to the Risk Help Sheet for more details on rating

Risk Factor	EA's Rating	TM's Rating
1 Management structure - Roles and responsibilities	Moderate: Well developed, stable Management Structure and Roles/responsibilities are clearly defined/understood. Moderate likelihood of potential negative impact on the project delivery.	Moderate: Well developed, stable Management Structure and Roles/responsibilities are clearly defined/understood. Moderate likelihood of potential negative impact on the project delivery.
2 Governance structure - Oversight	Moderate: Steering Committee and/or other project bodies meet at least once a year and Active membership and participation in decision-making processes. SC provides direction/inputs. Moderate likelihood of potential negative impact on the project delivery.	Low : Steering Committee and/or other project bodies meet at least once a year and Active membership and participation in decision-making processes. SC provides direction/inputs. Low likelihood of potential negative impact on the project delivery.
3 Implementation schedule	Moderate: Project progressing according to work plan and Adaptive management and regular monitoring. Moderate likelihood of potential negative impact on the project delivery.	Moderate: Project progressing according to work plan and Adaptive management and regular monitoring. Moderate likelihood of potential negative impact on the project delivery.
4 Budget	Moderate: Activities are progressing within planned budget and Balanced budget utilisation including PMC. Moderate likelihood of potential negative impact on the project delivery.	Moderate: Activities are progressing within planned budget and Balanced budget utilisation including PMC. Moderate likelihood of potential negative impact on the project delivery.
5 Financial Management	Low : Funds are correctly managed and transparently accounted for and Audit reports provided regularly and confirm correct use of funds. Low likelihood of potential negative impact on the project delivery.	Low : Funds are correctly managed and transparently accounted for and Audit reports provided regularly and confirm correct use of funds. Low likelihood of potential negative impact on the project delivery.
6 Reporting	Substantial: Reports are complete and accurate but often delayed or Reports lack critical analysis of progress and implementation issues. Significant likelihood of negative impact on the project delivery.	Low : Substantive reports are presented in a timely manner and Reports are complete and accurate with a good analysis of project progress and implementation issues. Low likelihood of potential negative impact on the project delivery.
7 Capacity to deliver	Low : Sound technical and managerial capacity of institutions and other project partners and Capacity gaps were addressed before implementation or during early stages. Low likelihood of potential negative impact on the project delivery.	Low : Sound technical and managerial capacity of institutions and other project partners and Capacity gaps were addressed before implementation or during early stages. Low likelihood of potential negative impact on the project delivery.

If any of the risk factors is rated a Moderate or higher, please include it in Table B below

4.2 Table B. Risk-log

Implementation Status (Current PIR)

7th PIR

Insert ALL the risks identified either at CEO endorsement (inc. safeguards screening), previous/current PIRs, and MTRs. Use the last line to propose a suggested consolidated rating.

Risk	Risk affecting:	Risk Rating							Variation respect to last rating		
	Outcome / outputs	CEO ED	PIR 1	PIR 2	PIR 3	PIR 4	PIR 5	PIR 6	PIR 7	Δ	Justification
Impacts of climate change on the project	Objective	L					L	L	L	=	The possible impacts of climate change on participating countries are variable

Lack of national government engagement	Outcome 1 - Output 1.1 - 1.2	M					M	M	M	=	Non responsiveness from focal points; focal points not submitting quarterly reports; focal points not attending monthly meetings
Electrical utilities, major owners of PCB equipment, do not engage in project (due to high cost of transformer replacement)	Outcome 2 - 3 (Disposal and Phase out Plans Activities)	L					M	M	M	=	Utilities are involved and somewhat responsive. They have clear knowledge of equipment of concerns and aware tasks they need to undertake
Private sector service provider not identified/interested	Output 3.1 - 3.3	L					L	L	L	=	International bidding limits the risk
Handling, storage, transport and treatment of PCB wastes leads to environmental releases	Output 3.1 - 3.3	L					L	L	L	=	An experienced international contractor has been appointed. This contractor will also provide relevant training
In-service transformers identified as PCB contaminated equipment	Output 3.3 (Disposal and Phase out Plans)	M					L	M	M	=	Utilities still not committed to replacement of contaminated equipment due to financial constraints/capacity
Co-financing	Project level	N/A					H	M		↓	Countries are not submitting co-finance reports. Countries are cofinancing however, they are struggling accounting for cofinance contributions

Consolidated project risk			L	M	M	M	M	M	M	M	=	This section focuses on the variation. The overall rating is discussed in section 2.3.
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4.3 Table C. Outstanding Moderate, Significant, and High risks

List here only risks from Table A and B above that have a risk rating of M or higher in the current PIR

Risk	Actions decided during the previous reporting instance (PIR-1, MTR, etc.)	Actions effectively undertaken this reporting period	Additional mitigation measures for the next periods		
			What	When	By whom
Lack of national government engagement	Follow ups, not releasing funds to countries until reporting is submitted	Continued follow ups, not releasing funds to countries until reporting is submitted	Get governments to commit to responding to communications, and submitting reports on time	2023/2024	Africa Institute and UNEP
Electrical utilities, major owners of PCB equipment, do not engage in project (due to high cost of transformer replacement)	General cost benefit analysis to be done and presented to countries to see cost saving.	Continued engagement with utilities, and reminder of cost benefit analysis as well as co-finance commitment	Negotiate with governments to provide financial securities to utilities, and reminder about cofinance commitments	2023/2024	Africa Institute and UNEP

Co-financing	Regular follow up with the countries is to be done and conducted. Countries are reminded during the coordination meetings and steering committee meetings.	Continued follow up with the countries. Countries are reminded during the coordination meetings and steering committee meetings. Training was planned but hasn't been undertaken.	Rigorous follow up with countries and national utilities to receive the co-finance contribution. The EA would organize dedicated session to brief countries on co-financing reporting. UNEP to follow up with the EA(AI) on quarterly basis on the progress in terms of realisation of co-financing and provide necessary support and guidance as and when required. UNEP to organise cofinance training	2023/2024	Africa Institute and UNEP
In-service transformers identified as PCB contaminated equipment	General cost benefit analysis to be done and presented to countries to see cost saving.	Continued engagement with utilities, and reminder of cost benefit analysis as well as co-finance commitment	Negotiate with governments to provide financial securities to utilities, and reminder about cofinance commitments	2023/2024	Africa Institute and UNEP

High Risk (H): There is a probability of greater than 75% that **assumptions** may fail to hold or materialize, and/or the project may face high risks.
Significant Risk (S): There is a probability of between 51% and 75% that **assumptions** may fail to hold and/or the project may face substantial risks.
Moderate Risk (M): There is a probability of between 26% and 50% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.
Low Risk (L): There is a probability of up to 25% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.

Project Minor Amendments

Minor amendments are changes to the project design or implementation that do not have significant impact on the project objectives or scope, or an increase of the GEF project financing up to 5% as described in Annex 9 of the Project and Program Cycle Policy Guidelines. Please tick each category for which a change occurred in the fiscal year of reporting and provide a description of the change that occurred in the textbox. You may attach supporting document as appropriate.

5.1 Table A: Listing of all Minor Amendment (TM)

Minor amendments	Changes	Minor amendments
Results framework	No	
Components and cost		
Institutional and implementation arrangements		
Financial management		
Implementation schedule	Explain in table B	
Executing Entity		
Executing Entity Category		
Minor project objective change		
Safeguards		
Risk analysis		
Increase of GEF project financing up to 5%		
Co-financing		
Location of project activity		
Other		

5.2 Table B: History of project revisions and/or extensions (TM)

Version	Type	Signed/Approved by UNEP	Entry Into Force (last signature Date)	Agreement Expiry Date	Main changes introduced in this revision
Original Legal Instrument		31-Aug-16	31-Aug-16	31-Jul-22	Programme Cooperationa Agreement (PCA) with African Institute
Amendment 1	Revision	27-Nov-19	6-Jan-20	31-Jul-22	Budget and workplan revision following October 2019 Steering Committee decision
Amendment 2	Extension	19-Jan-22	20-Jan-22	31-Dec-24	PCA Extension - budget and workplan revision
Original Legal Instrument		7-Nov-19	7-Nov-19	31-Dec-22	Internal Agreement with UNEP Knowledge and Risk Unit
Amendment 1	Revision	27-Nov-19	6-Jan-20	31-Jul-22	Budget and workplan revision following October 2019 Steering Committee decision

GEO Location Information:

The Location Name, Latitude and Longitude are required fields insofar as an Agency chooses to enter a project location under the set format. The Geo Name ID is required in instances where the location is not exact, such as in the case of a city, as opposed to the exact site of a physical infrastructure. The Location & Activity Description fields are optional. Project longitude and latitude must follow the Decimal Degrees WGS84 format and Agencies are encouraged to use at least four decimal points for greater accuracy. Users may add as many locations as appropriate. Web mapping applications such as [OpenStreetMap \(https://www.openstreetmap.org/#map=4/21.84/82.79\)](https://www.openstreetmap.org/#map=4/21.84/82.79) or [GeoNames\(http://www.geonames.org/\)](http://www.geonames.org/) use this format. Consider using a conversion tool as needed, such as: <https://coordinates-converter.com> Please see the Geocoding User Guide by clicking [here\(https://gefportal.worldbank.org/App/assets/general/Geocoding%20User%20Guide.docx\)](https://gefportal.worldbank.org/App/assets/general/Geocoding%20User%20Guide.docx)

Location Name Required field	Latitude Required field	Longitude Required field	Geo Name ID Required field if the location is not an exact site	Location Description Optional text field	Activity Description Optional text field
Botswana	-23.168178	24.592874		Project country headquarter	
Eswatini	-26.562481	31.399132			
Lesotho	-29.603927	28.335019			
Madagascar	-18.92496	46.441642			
Malawi	-13.254308	34.301525			
Mauritius	-20.348404	57.552152			
Mozambique	-19.302233	34.914498			
Namibia	-22.95764	18.49041			
Seychelles	-4.621145	55.448673			
Tanzania	-6.369028	34.888822			
Zambia	-4.657498	27.559916			
Zimbabwe	-6.369028	29.746841			

Please provide any further geo-referenced information and map where the project interventions is taking place as appropriate. *

[Annex any linked geospatial file]