



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

Part I: Project Information

GEF ID

Project Type

EA

Type of Trust Fund

GET

CBIT

CBIT No

Project Title

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

Countries

Regional, Ethiopia, Malawi, Zambia

Agency(ies)

UNEP

Other Executing Partner(s)

Executing Partner Type

Others

GEF Focal Area

Chemicals and Waste

Taxonomy

Persistent Organic Pollutants, Chemicals and Waste, Focal Areas, Polychlorinated Biphenyls, New Persistent Organic Pollutants, Unintentional Persistent Organic Pollutants, Pesticides, DDT - Other, DDT - Vector Management, Open Burning, Industrial Emissions, Stakeholders, Local Communities, Civil Society, Non-

Governmental Organization, Academia, Community Based Organization, Beneficiaries, Communications, Awareness Raising, Public Campaigns, Indigenous Peoples, Gender Equality, Gender Mainstreaming, Gender-sensitive indicators, Women groups, Sex-disaggregated indicators, Gender results areas, Knowledge Generation and Exchange, Capacity Development, Capacity, Knowledge and Research, Enabling Activities, Learning, Indicators to measure change, Theory of change, Knowledge Exchange, South-South, North-South, Innovation, Knowledge Generation, Training, Workshop

Sector

Enabling Activity

Rio Markers

Climate Change Mitigation

Climate Change Mitigation 0

Climate Change Adaptation

Climate Change Adaptation 0

Type of Reports	Submission Date	Expected Implementation Start	Expected Completion Date	Expected Report Submission to Convention
Stockholm National Implementation Plan Update	4/12/2022	7/1/2022	2/28/2025	2/28/2025

Duration

44In Months

Agency Fee(\$)

89,289.00

A. FOCAL/NON-FOCAL AREA ELEMENTS

Objectives/Programs	Trust Fund	GEF Amount(\$)	Co-Fin Amount(\$)
CW-EA	GET	939,900.00	
		Total Project Cost(\$)	939,900.00
			0.00

B. Project description summary

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	Expected Outcomes	Expected Outputs	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	1.1. Parties are engaged and regularly informed on project progress 1.2 Draft national legislation or mechanism established and roadmap for adoption developed for POPs data collection and management 1.3 NIPs are successfully linked to national development priorities 1.4 Strengthened national and international science-policy interfaces		

Project Component	Expected Outcomes	Expected Outputs	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
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	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	15,000.00	
		2.2 Report on the global production, use and trade of newly listed chemicals developed		
		2.3 National expertise to review and update the NIP is built		
		2.4 Standard structure for national data management system identified and increased cooperation and coordination among different stakeholders owning data		
		2.5 Strengthened capacity to use POPs inventory and monitoring data		

Project Component	Expected Outcomes	Expected Outputs	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
Component 3: NIP development, review and update (Art. 7) in coordination with national reporting (Art. 15)	3. Parties are compliant with Article 7 and 15 of the Stockholm Convention	<p>3.1 Developed or updated NIPs are endorsed by national stakeholders and submitted to the SC Secretariat</p> <p>3.2 National reports submitted to the SC Secretariat</p>	882,000.00	
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	<p>4.1 New knowledge products and tools are developed and disseminated to target countries and all Parties to the SC</p> <p>4.2 Knowledge platforms at the regional and global levels established and operational</p> <p>4.3 Knowledge transferred and information exchanged using communities of practice and online training/webinars on key issues</p>		

Project Component	Expected Outcomes	Expected Outputs	GEF Project Financing(\$)	Confirmed Co-Financing(\$)
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	6,000.00	
Sub Total (\$)			903,000.00	0.00
Project Management Cost (PMC)				
			36,900.00	
Sub Total(\$)			36,900.00	0.00
Total Project Cost(\$)			939,900.00	0.00

Please provide justification

Africa Institute, Stockholm Conventions Regional Centre, South Africa

C. Source of Co-Financing for the Project by Name and by Type

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Investment Mobilized	Amount(\$)
				Total Co-Financing(\$)

Describe how any "Investment Mobilized" was identified

D. GEF Financing Resources Requested by Agency, Country and Programming of Funds

Agency	Trust Fund	Country	Focal Area	Programming of Funds	Amount(\$)	Fee(\$)	Total(\$)
UNEP	GET	Ethiopia	Chemicals and Waste	POPs	313,300	29,763	343,063.00
UNEP	GET	Malawi	Chemicals and Waste	POPs	313,300	29,763	343,063.00
UNEP	GET	Zambia	Chemicals and Waste	POPs	313,300	29,763	343,063.00
Total Gef Resources(\$)					939,900.00	89,289.00	1,029,189.00

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:

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	

<p>Hexabromodiphenyl ether and heptabromodiphenyl ether</p>	<p>A</p>	<p>Use: Articles in accordance with the provisions of Part IV of Annex A</p>	<p>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.</p>
<p>Lindane</p>	<p>A</p>	<p>Use: Human health pharmaceutical for control of head lice and scabies as second line treatment</p>	<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.</p>
<p>Pentachlorobenzene (PeCB)</p>	<p>A and C</p>	<p>None</p>	

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.
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<p>Perfluorooctane sulfonic acid (PFOS), its salts and perfluorooctane sulfonyl fluoride</p>	<p>B</p>	<p>Production: Acceptable purpose: In accordance with part II of this Annex, production of other chemicals to be used solely for the use below. Production for uses listed below. 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 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>	<p>As revised by Decision SC-9/4 adopted at COP 9 in 2019.</p> <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.</p>
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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>	<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.</p>

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
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Hexabromocyclododecane (HBCD)	A	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 Use: Expanded polystyrene and extruded polystyrene in buildings in accordance with the provisions of Part VII 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.
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the 7th meeting of the COP in May 2015, adopted the amendments of the SC to list the following chemicals:

Hexachlorobutadiene (HCBBD) - 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 (HCBBD)	A	None	

<p>Pentachlorophenol (PCP) and its salts and esters</p>	<p>A</p>	<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: Pentachlorophenol for utility poles and cross-arms in accordance with the provisions of Part VIII of Annex A</p>	<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.</p>
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<p>Polychlorinated naphthalenes (PCNs)</p>	<p>A and C</p>	<p>Production: Intermediates in production of polyfluorinated naphthalenes, including octafluoronaphthalene Use: Production of polyfluorinated naphthalenes, including octafluoronaphthalene</p>	<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.</p>
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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
<p>Hexachlorobutadiene (HCBd)</p>	<p>C</p>	<p>None</p>	

<p>Decabromodiphenyl ether (deca-BDE)</p>	<p>A</p>	<p>Production: As allowed for the Parties listed in the Register</p> <p>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 decoration bulbs , waterproofing and fire-retardant paints Adhesives metal processing Secondary plasticizers in flexible polyvinyl chloride, except in toys and children's products</p>	<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.</p>
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<p>Decabromodiphenyl ether (deca-BDE)</p>	<p>A</p>	<p>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</p>	<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.</p>
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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	

Perfluorooctanoic acid (PFOA), its salts and PFOA related compounds

A

Production:

- a) Fire-fighting foam: None
- b) For other production, as allowed for the Parties listed in the Register in accordance with the provisions of part X of this Annex

Use:

In accordance with the provisions of part X of this Annex:

? Photolithography or etch processes in semiconductor manufacturing

? Photographic coatings applied to films

? Textiles for oil- and water-repellence for the protection of workers from dangerous liquids that comprise risks to their health and safety

? Invasive and implantable medical devices

? 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

? 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

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.

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.

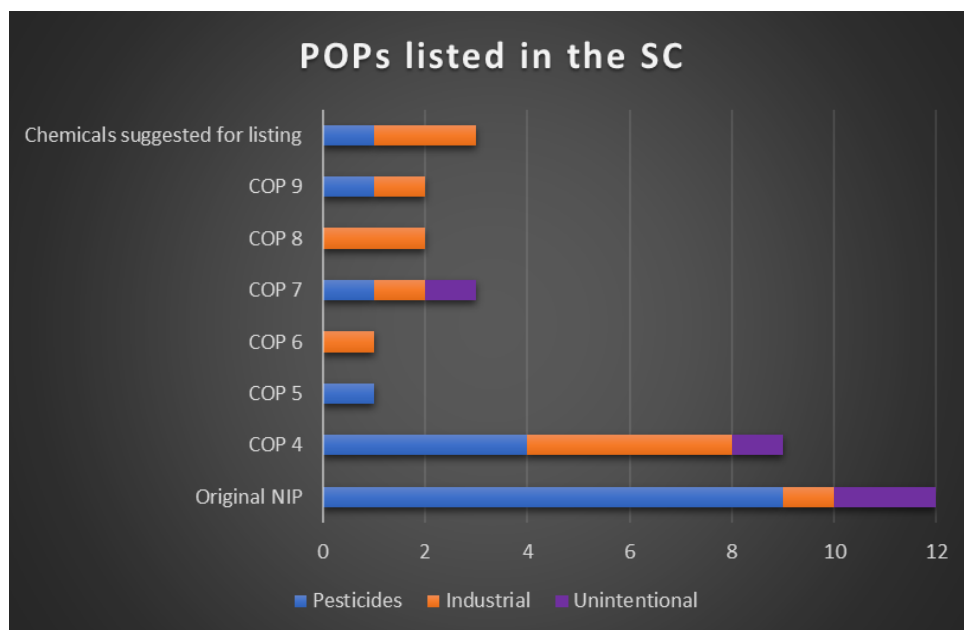


Figure 1. POPs listed in the Stockholm Convention

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 I: 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 I).

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:

- Establishment of coordinating mechanisms and organisation of process (Step 1)
- Establishment of a preliminary POPs inventory (Step 2)
- Priority setting and determination of objectives (Step 3)
- Formulation of National Implementation Plan and Action Plans on specific POPs (Step 4)
- 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:

- Identify and disseminate lessons learned
- Identify initial needs and opportunities for exchange of information and expertise
- 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:

- Ratified the Convention amendments; non-Parties are eligible for the initial 12 POPs only;
- Not currently involved in an active NIP development or update process;
- With known large quantities of wastes potentially contaminated with POPs such as electronics, textiles and end of life vehicles;
- Not a fragile State or country in conflict;
- Geographical balance among regions;
- Shown positive experiences in previous NIP updates; and
- 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. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender equality and women's empowerment are considered in project design and implementation

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:

- 1) Build political support and stakeholder involvement for NIP development, endorsement and future implementation (funded through project 10785);
- 2) 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);
- 3) 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;
- 4) 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
- 5) 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 developed[1]¹. 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.

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

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 A

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 are^[1]:

1. limited technical and financial capacity to generate national evidence-based information regarding the environmental and health hazards associated with POPs;
2. limited technical and financial capacity to implement a policy if approved;
3. policymakers' limited understanding of the issues associated with POPs;
4. poor cooperation and coordination among relevant stakeholders;
5. frequent staff changes at the line ministries, including the focal points under the Multilateral Environmental Agreements (MEAs); and
6. 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] UNEP (2018). From NIPs to implementation: lessons learned report.
<https://www.unep.org/resources/synthesis-reports/nips-implementation-lessons-learned-report>

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

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

[4]
<http://chm.pops.int/TheConvention/LegalMatters/LegalMattersAdditionalResources/tabid/2245/Default.aspx>

[5]
<http://chm.pops.int/Implementation/NationalImplementationPlans/Guidance/tabid/7730/Default.aspx>

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

[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>

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.

EAs 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, DESCRIBE THE BUDGETED M & E PLAN

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	? 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	? 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 44
Terminal report	? Reviews effectiveness against implementation plan;	EAs	\$0	Three months after the end of project

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. Under the proposed project, UNEP anticipate the participation of 3 Parties at \$294,000 per country. 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;
- Recruitment of designated knowledge sharing platform (e.g. GGKP) to ensure information generated from the project is managed and disseminated properly;
- 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: Approval/Endorsement 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):

Focal Point Name	Focal Point Title	Ministry	Signed Date
Kasahun Wakoya Nikusa, Ethiopia	GEF Operational Focal Point	Environment, Forest and Climate Change Commission	4/4/2022
Shamiso Najira, Malawi	GEF Operational Focal Point	Environmental Affairs Department	11/29/2021
Godwin Fishani Gondwe, Zambia	GEF Operational Focal Point	Ministry of Green Economy and Environment	12/10/2021

B. Convention Participation

Convention	Date of Ratification/Accession	National Focal Point
Stockholm Convention - Ethiopia	1/9/2003	Mr. Girma Gemechu Kenne
Stockholm Convention - Malawi	2/27/2009	Ms. Caroline Theka
Stockholm Convention - Zambia	7/7/2006	Mr. Chrispine Simwanza
Basel Convention - Ethiopia	4/12/2000	Mr. Abate Getnet Demisash
Basel Convention - Malawi	4/24/1994	Ms. Victoria Kachimera
Basel Convention - Zambia	11/15/1994	Ms. Perine Nkosi Kasonde
Rotterdam Convention - Ethiopia	1/9/2003	Mr. Abate Getnet Demisash
Rotterdam Convention - Malawi	2/27/2009	Ms. Caroline Theka
Rotterdam Convention - Zambia	1/28/2011	H.E. Mr. Jonas Kamima Chanda

ANNEX A: Project Budget Table

Please attach a project budget table.

Component 2: Technical Capacity (linked to GEF10785)	Component 3: NIP/NIP Update and Natl Reporting	Component 5: M&E	PMC	Total
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UNEP BUDGET LINE/OBJECT OF EXPENDITURE			Responsible Agency	US\$	US\$	US\$	US\$	US\$
10	PROJECT PERSONNEL COMPONENT							
	1100	Project Personnel	EA					
	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							
	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							
	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

UNEP
(IA)