



GEF-6 REQUEST FOR CHEMICALS AND WASTES ENABLING ACTIVITY

PROPOSAL FOR FUNDING UNDER THE GEF TRUST FUND

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PART I: PROJECT IDENTIFIERS

Project Title:	Review and update of the national implementation plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) in Brazil		
Country(ies):	Brazil	GEF Project ID: ¹	9530
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01431
Other Executing Partner(s):	Ministry of Environment	Resubmission Date:	August 15, 2016
GEF Focal Area (s):	Chemicals and Wastes	Project Duration (Months)	18
Type of Report:	National Implementation Plan (NIP)	Expected Report Submission to Convention	18 months after receipt of the first cash advance

A. PROJECT FRAMEWORK*

Project Objective: Review and update the National Implementation Plan (NIP) in order to comply with article 7 under the Stockholm Convention

Project Component	Project Outputs	(in \$)	
		GEF Project Financing	Confirmed Co financing ²
1. Support to share information and evaluate NIPs worldwide	1.1 Capacity building and technical assistance provided to countries to develop NIPs while building sustainable foundations for its future implementation; 1.2 Knowledge management services provided.	17,500	0
2. NIP updating, endorsement and submission to the Stockholm Convention Secretariat	2.1 Technical guidance and support provided to strengthen the national coordination mechanism for NIP updating and future implementation; 2.2 Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available; 2.3 Draft updated NIP developed based on identified national priorities; 2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat.	184,773	0

¹ Project ID number will be assigned by GEFSEC and to be entered by Agency in subsequent document submission.

²Co-financing for enabling activity is encouraged but not required.

3. Monitoring and Evaluation	3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF.	25,000	
	3.2 Independent terminal evaluation developed and made publicly available.		
Subtotal		227,273	0
Project Management Cost ³		22,727	0
Total Project Cost		250,000	0

* List the \$ by project components. Please attach a detailed project budget table that supports all the project components in this table.

B. SOURCE OF CO-FINANCING FOR THE PROJECT BY NAME AND BY TYPE

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
NA			
Total Co-financing			0

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

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b) ^{b)}	Total (c)=a+b
UNEP	GEFTF	Brazil	Chemicals and Wastes	POPs	250,000	23,750	273,750
Total GEF Resources					250,000	23,750	273,750

a) Refer to the Fee Policy for GEF Partner Agencies

³This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources. For EAs within the ceiling, PMC could be up to 10% of the Subtotal GEF Project Financing.

PART II: ENABLING ACTIVITY JUSTIFICATION

A. ENABLING ACTIVITY BACKGROUND AND CONTEXT

Brazil ratified the Stockholm Convention 16 June 2004. Brazil recognizes its obligation under article 7 of the Convention to develop a National Implementation Plan (NIP) and transmit it to the Conference of the Parties (COP) within two years of entry into force of the Convention. Brazil also recognizes its obligation under article 15 to report at periodic intervals to the Conference of the Parties on the measures it has taken to implement the provisions of the Stockholm Convention.

Article 13 of the Convention sets out the principles on which "...developed country Parties shall provide new and additional financial resources to enable developing country Parties and Parties with economies in transition to meet the agreed full incremental costs of implementing measures that fulfil their obligations under the convention". The GEF is a principal component of the financial mechanism of the Stockholm Convention and, as such, supports activities to meet its objectives. The GEF Council in its 17th meeting (May 2001) has decided that a typical enabling activity proposal is expected to have a total cost not exceeding \$500,000. In this context Brazil participated in the GEF funded project Development of a National Implementation Plan in Brazil as a First Step to Implement the Stockholm Convention on persistent Organic Pollutants (POPs (GEF ID 2096). Brazil has developed a draft NIP with UNEP's assistance under this project and the NIP was submitted to the Stockholm Convention Secretariat on 23 April 2015.

At its fourth meeting, held from 4 to 8 May 2009, the COP, adopted decisions SC-4/10 to SC-4/18 that amended Annexes A (elimination) and C (unintentional production) of the Stockholm Convention to list nine additional chemicals as Persistent Organic Pollutants (new POPs). The COP noted needs for guidance and technical/financial support for developing countries and countries with economies in transition, bearing in mind paragraph 1 of Article 12 of the Convention. The COP also noted that some of the listed chemicals, especially industrial chemicals, are still produced in some countries and used in many countries; others exist globally in stockpiles and wastes that need to be dealt with in accordance with Article 6 of the Convention. Some Parties expressed needs for guidance on how to identify chemicals contained in articles/products and also those released from unintentional production. At its fifth meeting, held from 25-29 April 2011, the COP to the Stockholm Convention, by decision SC-5/4 adopted endosulfan as the tenth new POP. At its sixth meeting, held from 28 April to 10 May 2013 the COP to the Stockholm Convention, by decision SC-6/13 adopted hexabromocyclododecane as the eleventh new POP. At its seventh meeting, held in 2015, the Conference included the adoption of decisions listing Hexachlorobutadiene, pentachlorophenol and its salts and esters, and polychlorinated Naphthalenes to the Convention.

The implications for Parties of the listed new chemicals include the need:

- ✓ To implement control measures for each chemical listed in annexes A or B (Articles 3 and 4);
- ✓ To develop and implement action plans for unintentionally produced chemicals listed in annex C (Article 5);
- ✓ To develop inventories of the chemicals' stockpiles (Article 6);
- ✓ To review and update the National Implementation Plan (Article 7);
- ✓ To include the new chemicals in the reporting (Article 15);
- ✓ To include the new chemicals in the programme for effectiveness evaluation, to be indicated by the Stockholm Convention Secretariat (Article 16).

At COP-5, the Global Environment Facility (GEF) announced that it would make available grants of up to 250,000 USD to each eligible country embarking upon NIP review and updating. Parties to the Stockholm Convention were requested not only to include information on new POPs but also to update existing information on the twelve initial POPs.

The GEF Programming for its replenishment VI, Program 2 has allocated 20\$ million to "support enabling activities and

promote their integration into national budgets, planning processes, national and sector policies and actions and global monitoring” which highlights the strong commitment of the GEF to support countries to comply with the Stockholm Convention.

Through this project Brazil is applying for additional funds to revise its first NIP and update it taking into account the newly listed POPs.

Brazil

Brazil ratified the Stockholm Convention on Persistent Organic Pollutants on 16 June 2004 and transmitted its first National Implementation Plan to the Stockholm Convention Secretariat on 23 April 2015.

The National Implementation Plan (NIP-Brazil) was submitted on 23 April 2015 to the Secretariat as a result of the GEF Project NIP-POPs – “Development of a National Implementation Plan in Brazil as a first step to Implement the Stockholm Convention on POPs” - 2010-2015. The baseline scenario for the implementation of priority actions was captured during the development phase. The NIP presented the findings of an initial investigation of the status of Stockholm Convention’s implementation in Brazil, the uses of these chemicals in the country, the management of their wastes and stockpiles, POP-contaminated sites, as well as installed national capacity. Also, identified the legislative and administrative measures already underway to protect human health and the environment from the effects of POPs, pointed out gaps that must be overcome; and provided an Action Plan that allows the country to meet its obligations under the Convention.

The NIP comprised the 12 initial POPs, the nine new POPs added to the Convention Annexes in 2009; Endosulfan, listed in 2011; and Hexabromocyclododecane (HBCD), listed in 2013. Although it is recently concluded, the document and the inventories will need to be updated to improve the inventories of new POPs of industrial use included in the first NIP and develop the first inventories for POPs added to the Convention Annexes in 2015.

National priorities and UNDAF in Brazil

Brazil is eligible for GEF funding related to the updating of its National Implementation Plan.

The Project is aligned with Brazil’s 2012-2015 UNDAF, more specifically to UNDAF Outcomes 2. The expected outcome 2 is green economy and decent work in the context of sustainable development and poverty eradication. Incorporating the paradigm of decent work and green economy development are integral part of the strategy to eradicate poverty and promote sustainable development in the country. Decent work, as defined by the International Labour Organization “sums up the aspirations of people in their working lives. It involves opportunities for work that is productive and delivers a fair income, security in the workplace and social protection for families, better prospects for personal development and social integration, freedom for people to express their concerns, organize and participate in the decisions that affect their lives and equality of opportunity and treatment for all women and men”⁴ Workers dealing with new POPs risk exposure and contamination, which is in disagreement with the idea of security in the workplace and therefore the definition of a decent work.

In order to ensure that this project contributes to the UNDAF outcomes in Brazil, representatives from the United Nations Country Team (e.g. UNDP National Representation) will be invited to attend the inception workshop and to take part in the meetings led by CONASQ (the National Coordination Mechanism). It is important to indicate that the participation

⁴ <http://www.ilo.org/global/topics/decent-work/lang--en/index.htm>

of the United Nations Country team in the meetings with CONASQ will result in a closer analysis and assessment of the progress made in terms of National Priorities.

The National Implementation Plan (NIP) provides an overview of the POPs situation in Brazil and, based on its findings and identified critical points, indicates the main challenges and priorities that should be considered for the efficient implementation of the Stockholm Convention in the country.

Studies and inventories were carried out according to the guidance and methodologies contained in the Convention guides. Based on the information gathered in each inventory, actions and priorities were discussed and made up 5 Action Plans:

1. Action Plan for the management of stockpiles and waste of POPs used as pesticides and for other uses;
2. Action Plan for the management of Polychlorinated Biphenyls (PCB);
3. Action Plan for the management of New POPs of industrial use;
4. Action Plan for the management of sites contaminated by Persistent Organic Pollutants (POPs); and;
5. Action Plan for the Progressive Reduction of unintentional releases of Persistent Organic Pollutants.

In addition to those Plans, measures to promote the following actions were also planned: (1) strengthen the institutional capacity and legislative framework for the management of POPs; (2) disseminate information, raise public awareness and educate the public; (3) expand the national analytical capacity, monitor POPs, and (4) promote research, development and innovation.

The NIP-Brazil was agreed between national stakeholders through a broad process of consultation carried out remotely and in person between 2013 and 2014 and endorsed by CONASQ. It contains a series of actions to be executed by several government institutions, within their scope, and by the private sector. This is a dynamic document, which should be reviewed and updated to reflect the decisions made by the Conference of the Parties and by the Brazilian Government in the context of improving national environmental policies.

National Management of POPs as identified in the NIP

At the federal level, the National Environmental System (SISNAMA) was established by Federal Law 6938 of 1981 and comprises two principal elements: the formulation of National Environmental Policy and inter-agency exchange; and the enforcement of environmental conservation and quality improvement measures. The CONAMA and the Ministry of the Environment (MMA) are the principal entities of the first element while IBAMA and the State Environmental Entities pertain to the second.

The MMA is the central body and hub of SISNAMA and is responsible *inter alia* for national environmental and water resource policies; for developing strategies, mechanisms and economic and social instruments to improve the quality of the environment and natural resources; and for policies to integrate industrial production and the environment. Within the MMA the Secretariat of Climate Change and Environmental Quality (SMCQ), through its Department of Environmental Quality, is responsible for all the chemicals issues in the Ministry, including *inter alia* studies of the situation of POPs in the country; for participation in Brazilian representation to the Stockholm Convention; for coordination of its implementation; and for management of activities and personnel engaged in its implementation.

The National Chemical Safety Commission (CONASQ) was established in 2000 as an intersectoral coordination mechanism for integrating efforts and creating opportunities to strengthen, disseminate and develop intersectoral actions related to chemical safety. CONASQ consists of 21 institutions from the public and private sectors, academia and organized civil society. The Ministry of the Environment is the Commission coordinator and the Ministry of Health is its vice-coordinator.

Legal framework

An analysis of national legislation found that there is considerable legal basis for controls of production, foreign trade, transport, chemical use and disposal of hazardous waste. Some gaps, however, have been identified, and will be synthesized below.

According to their mandates, States will also need to develop their specific legislation and develop programmes for implementation of the NIP's actions. Some states have legislation, but in others, there is a lack of knowledge about national legislation and/or established responsibilities. In addition, it is possible to identify cases of conscious resistance to compliance with legal obligations, consolidating situations of environmental violations.

Efforts for the enforcement of existing legislation include the qualifying staff, increasing the number of surveillance officers and intensifying surveillance.

Below are listed the main conclusions outlined in the study of the legal gaps and required revision.

1) Pesticide Registration, Household Products, Wood Preservatives and others: although these products were analyzed and classified according to the criteria of toxicity, ecotoxicity, persistence, bioaccumulation and transport, there are no objective criteria for verifying the conditions that would hinder the registration of the active ingredient based on the characteristics set forth in Annex D of the Convention.

Regarding the legal status of POPs pesticides, they are all already prohibited by specific normative acts in line with the provisions of the Convention, so there is no need for additional legislation.

2) Industrial Chemicals: there are regulations establishing restrictions or prohibitions for some specific industrial chemicals, such as benzene, asbestos, chlorine, mercury, PCBs and ozone layer depleting substances, but there is no general legislation covering all chemicals for industrial use. But the production and use of industrial chemicals is not controlled in Brazil, so there is no risk assessment of these chemicals by the government in a comprehensive and systematic way.

3) PCBs: with respect to legislation regarding PCBs, although some regulations have been published in order to prohibit the use of POPs in new equipment and to discipline their maintenance, it is not enough to ensure the environmentally sound management of POPs due to gaps that were identified.

4) New POPs of industrial use: in parallel to the construction of a comprehensive legislation that covers all industrial chemicals, specific legislation for new POPs of industrial use should be published, establishing prohibitions and restrictions in line with the Convention. And, for those chemicals whose use is permitted, publish legislation to guide the licensing process of the activities that use these POPs, their waste and articles that contain them, on Best Available Techniques and Best Environmental Practices (BAT/BEP). This legislation will also facilitate access to information on the situation of these substances and their uses in the country.

5) Labeling of POPs: the study noted the lack of harmonization of national legislation on the classification and labeling of chemicals and suggested the implementation of the GHS in the country. Similarly, Brazil should follow the international debate on labeling strategies and identification of products and articles containing POPs and implement them in the country.

6) Customs Codes - Imports and Exports: most new POPs of industrial use do not have individual customs codes, using codes that identify large groups of substances. This makes it difficult to obtain data on foreign trade of these POPs and the

quantities traded. Thus, it is necessary to discuss the establishment of specific codes for new POPs of industrial use to enable their proper identification and monitoring of international trade.

7) Waste management containing POPs: publication of additional legislation may be required to govern the recycling of electrical and electronic waste, and the implementation of a strategy for the dismantling of vehicles.

8) Water and soil quality controls: regarding the legislation for monitoring POPs in water and soil, it does not cover all POPs listed in the Convention. The detection standards of POPs established by these regulations have proven insufficient to quantify their concentrations.

9) Emissions of unintentional POPs: the limits of dioxins and furans set for waste incineration are significantly milder than those suggested in the Convention's BAT/BEP Guide, and should be updated. In addition to the priority sources identified in the National Inventory Sources and Estimates of Dioxins and Furans Emissions, it is necessary to publish legislation establishing emission limits to determine reduction targets for companies/emission sources and serve as a legal basis and guide to surveillance and sanctioning actions of state agencies under the monitoring and licensing activities.

New POPs

Brazil does not have legislation that establishes control over industrial chemicals and consequently public authorities do not have systematic information on the production, use, import and export of these substances, nor a National Inventory of Industrial Chemicals that are (or have been) available in the domestic market.

The absence of regulated controls reflects directly on the development of the National Inventories of new POPs of industrial use, hampering the collection of information on these substances. The existing information is fragmented and dispersed throughout various information systems and registers in both private and public sectors, but often they don't exist or aren't available.

Thus, given the lack of an information source that could provide official consolidated data on the status of production, use, import and export of new POPs of industrial use in Brazil, the MMA carried out an indicative inventory of these substances and of products/stockpiles that may contain them, to provide inputs for the development of the NIP for the Stockholm Convention.

Regarding the new POPs for industrial use, mostly flame-retardants, the import of electronics products, vehicles, furniture and construction materials containing such substances is a problem to be faced. Present in plastics, foams and other materials, such waste must be environmentally sound managed and segregated from other materials in order to avoid the use that can expose people and the environment and contaminate other products.

Indicative inventories identified that PFOS, its salts and PFOSF and HBCD are still in use in Brazil. Furthermore, the information received indicates that POPs-PBDEs might have been used in the past and that these substances could be present in imported articles in use and in wastes.

The PFOS inventory indicate that approximately 50.7 tonnes of PFOSF are used to produce Sulfluramid, and 1.9 tonnes of PFOS (Bayowet FT 248) are used in electroplating annually. Related to the management of PFOS, the goal is to seek replacement for that purpose for which the country requested specific exception (electroplating) and to generate information about the behaviour and environmental fate of the substance (based on the active ingredient Sulfluramid) and find possible substitutes for the use of Sulfluramid in control of cutting ants, as well as promotion of best environmental practices to reduce their consumption and human and environmental exposure to this compound.

The estimated amount of c-octaBDE in electrical and electronic equipment was approximately 1.6 thousand tonnes (174.9 tonnes of hexaBDE and 683.9 tonnes of heptaBDE). The amount of c-pentaBDE in vehicles in use was 39.5 tonnes and in end-of-life vehicles was 694.0 tonnes. Other uses of POPs-PBDEs, e.g., furniture, bedding/mattresses, textiles, construction materials, rubber, and drilling operations, were thought to be of minor relevance due to the limited use of POPs-PBDEs in most of these applications and the difficulty in obtaining information for diffusion.

The NIP include activities for POPs-PBDEs in EEE as the collection of information on the sector, the development of a guide to promote the segregation of equipment that contain POPs-PBDEs, the use of technologies that reduce releases of these substances and to indicate the kind of uses that will not be permitted for recycled plastics containing POPs-PBDEs. These activities shall be executed in collaboration with the sector, which may also contribute to promoting the BAT/BEP Guide among recycling companies and workers.

Regarding HBCD, the initial survey indicated that imports of this substance are increasing, having gone from 90 tonnes in 2012 to 115 tonnes in the first months of 2013. According to information received, this substance is used in Brazil for the manufacture of EPS, XPS and HIPS that are used as thermal insulation in the building industry and as flame-retardant additive in industrial uses.

In general, the indicative inventory results indicate that information must be improved. Some categories, which are believed to use these substances must be further investigated. Furthermore, it is necessary to develop new inventories and action plans for Hexachlorobutadiene, Pentachlorophenol and its salts and esters, and Polychlorinated Naphthalenes. These gaps will be covered in the NIP updating project.

Post NIP efforts

After the NIP submission, Brazil is establishing the institutional and organizational arrangements to start the activities set out in the Action Plans. Additionally, a proposal of Full Size Project to implement the NIP is under development by the Brazilian Government and UNEP.

SDGs in Brazil

The NIP development and future implementation contribute to achieve the following Sustainable Development Goals in Brazil:

- Sustainable Development Goal (3) ensures healthy lives and promotes well-being for all at all ages. The NIP implementation will prevent the exposure of vulnerable populations to POPs and consequently contribute to reduce the number of deaths and illnesses from hazardous chemicals (target 3.9);
- The project will also indirectly contribute to achieve the Sustainable Development Goal (5) achieve gender equality and empower women and girls. This will be done through the collection of disaggregated data by sex, the participation of stakeholders from both sexes in the consultations and the inclusion of gender sensitive indicators in the project logical framework. As part of the NIP, strategies to prevent exposure of vulnerable populations, particularly children and women of child-bearing age, especially pregnant women, will be developed. This strategy will contribute to the development of national sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels (target 5c);
- Sustainable Development Goal (6) – ensure availability and sustainable management of water and sanitation for all. The NIP implementation will contribute in particular to achieve the target 6.3 improving water quality by reducing the release of hazardous chemicals;

- Sustainable Development Goal (12) – ensure sustainable consumption and production patterns. The project will directly contribute to achieve the target 12.4 under this goal that is to achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment. The NIP implementation contributes to the environmentally sound management of POPs through the early implementation of the Stockholm Convention.

The project also contributes to the achievement of the expected accomplishment A under the UNEP biennial Programme of Work (PoW) 2016-2017 “countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements” . More precisely, the project contributes to the PoW output 5 “consolidated advisory and support services promote the sound management of chemicals at national level, including mainstreaming into national policies and programmes, instruments and schemes for the governance of chemicals production, use, trade and release”. Through this project UNEP will provide national stakeholders with the policy and technical instruments needed to develop the NIP and will strengthen the national institutional capacity to its implementation. The outcomes of this project are also aligned with the objectives of the proposed PoW and budget for the biennium 2018-2019 approved by UNEA in 2016, expected accomplishment A, policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM). The project will contribute to the indicator of achievement by increasing the number of countries that have used UNEP guidance in developing an Action Plan that promotes sound chemicals management and implement the Stockholm Convention.

B. ENABLING ACTIVITY GOAL, OBJECTIVES, AND ACTIVITIES:

The goal of the NIP updating project is to contribute to the efforts of Brazil in implementing the Stockholm Convention and consequently protect human health and the environment from the risks posed by the unsound use, management and release of POPs.

The objective of the NIP update is to comply with Article 7 of the Convention that states that Parties shall “*review and update, as appropriate, its implementation plan on a periodic basis and in a manner to be specified by the decision of the Conference of the Parties.*” Through the process of NIP revision and update and the cooperation of main national stakeholders it’s expected that Brazil will also take tangible steps towards mainstreaming chemicals management in the country.

Project Components and Activities:

The NIP updating project has three components, which consist of the activities indicated below. Each component includes information on project activities and outputs.

Component 1: Support to share information and evaluate NIPs updating worldwide

Brazil will benefit from and contribute to the work UNEP Chemicals and Waste Branch is already accomplishing under the GEF funded project “Global Project on the updating of National Implementation Plan for POPs”(GEF ID 5307). Brazil will benefit from the technical support and capacity building activities while contributing with data and lessons learnt. UNEP Chemicals and Waste Branch will mobilize this information and experience to tailor projects, papers and other capacity building materials to country needs, spurring enhanced capacity for ESM of POPs in Brazil and globally.

Expected Outputs and planned activities:

1.1 Capacity building and technical assistance provided to countries to develop NIPs while building sustainable foundations for its future implementation.

1.1.1 Organise training on project coordination and lessons learned and good practices from previous projects. A gender expert will be engaged at this stage to ensure gender considerations are fully taken into account in the project implementation;

1.1.2 Organise regional discussions and information exchange on POPs on the basis of updated NIPs.

1.2 Knowledge management services provided.

1.2.1 Update/revise/enhance database of experts on POPs management;

1.2.2 Incorporate inventory data into the SSC clearinghouse;

1.2.3 Identify and disseminate lessons learned.

Component 2: NIP updating, endorsement and submission to the Stockholm Convention Secretariat

The NIP updating and endorsement will be implemented in four steps.

Step 1: Institutional strengthening

Amendments to the Convention are one of the key factors prompting an update of the NIP. In this step, the national agency in charge of NIP implementation will identify institutional needs and strengths and will also reinforce the existing national coordination mechanism on POPs management. It will also gain political commitment to the NIP updating process, strengthen the existing national coordinating mechanism (CONASQ) and structure for executing the NIP updating process. This project will strengthen the national infrastructure for POPs management not only by maintaining and sustaining the National Coordinating Committee but also by reinforcing it with key stakeholders involved in the chemicals life cycle of the newly adopted POPs.

Step 2: National overview of POPs management

This is a key step in the NIP updating process. One of the first activities suggested before embarking on the establishment of inventories is to review the status of any specific exemptions requested by Brazil and any progress made on action plans set out in the initial NIP. An assessment of national research on POPs, and of analytical and monitoring capacity will be undertaken in order to develop a plan for a POPs monitoring network.

As the Brazilian NIP was submitted recently, by the end April 2015, the inventories of the 12 initial POPs should not be updated. All POPs pesticides are banned in Brazil. Brazil has not made use of the specific exemptions approved by the Conference of the Parties for Aldrin, Chlordane, DDT, Dieldrin, Endosulfan, Heptachlor, Lindane, Mirex, Hexachlorobenzene and Pentachlorobenzene.

Concerning the new POPs, the inventories and actions plan for Endosulfan and Lindane, used as pesticide, have been developed together with other pesticide inventories and included in the NIP. For this reason, it is not necessary to update these inventories as Brazil already has a baseline for these chemicals. This project will include only a preliminary evaluation of the use of Lindane (including pentachlorophenol) as wood preservative and an assessment of old factories where these products were manufactured to verify the situation of contaminated sites (remediation stage) and the likely existence of wastes.

Two old HCH production sites in particular will be investigated in the NIP updating project: « Cidade dos Meninos » and « Matarazzo industry ». Cidade dos Meninos, located in Duque de Caxias, Rio de Janeiro State, produced HCH and other pesticides from 1950-1964. The old factory has been abandoned since then. It is estimated that a range from 300 to 400 tonnes of HCH residues were left in the production site and became the primary focus of contamination. Out of this amount, 40 tonnes only have been disposed. These wastes have since been dispersed in the surrounding areas following the Camboaba road leading to a second focus of contamination. The government attempts to remediate the area by mixing lime to HCH residues increased the contaminated area due to the release of other toxic compounds and larger vertical migration reaching the groundwater. Studies estimate the amount of contaminated material ranging from 29,700 tonnes (Fiocruz, 1998 Fiocruz , 2000), to 33,000 tonnes of HCH contaminated wastes ((Lopes, Deucher, Aquino, Marquer, 1998). A population of approximately 1,400 families living near to the old factory is highly exposed to the risk of contamination.

The Matarazzo industry was located in Sao Caetano do Sul, Sao Paulo State. The factory produced HCH from 1946 to 1986. The amount of HCH isomers left in this production site is currently uncertain. According to CETESB (Stockholm Convention Centre based in Brazil) the amount of HCH (16%) produced in this production site in 40 years varies from 98,583 – 192,000 tonnes of HCH (16%) (Li,1999, Maneo 2013). If for each ton of Lindane 8-12 tons of isomers are produced, this means that a total of 15,773 to 30,720 tonnes of HCH isomers were produced during the same period. In 1979 and from 1984 to 1986 a higher concentration of active ingredient (40% gamma-HCH) was produced. The amount of wastes produced during this specific period represents 7,900 tonnes. There is little information available about how these wastes have been disposed. Studies have estimated that the HCH contaminated site covers an area of about 280.000 m³ (241.000 m³ of area and 42.000 m³ of area II) with the propagation of the contaminants to a depth of 8 m. Highest values reaches 11,000 ppm total HCH.

The amounts of HCH and related isomers produced in these production sites and their final destination will be further assessed during the NIP updating project. This information will complement the PPG phase of a Full Size Project currently under development with UNEP and the Ministry of Environment of Brazil aimed at the ESM of POPs in Brazil according to the priorities identified in the NIP.

Regarding the new POPs of Industrial use, Brazil requested the registration of an acceptable purpose for the use of PFOS in the production of Sulfluramid as bait insecticide to control the leafcutter ants *Atta spp.* and *Acromyrmex spp.*, and the registration of specific exemptions for PFOS in metal plating, for recycling of materials and wastes containing POP-PBDEs, and to the use of HBCD in the applications involving expanded polystyrene (EPS), extruded polystyrene (XPS) in construction. The inventories for these chemicals should be improved. Since Sulfluramid and metal plating were the only two categories identified until now for which there is proven use of PFOS/PFOSE, categories for which PFOS is suspected (ex. Fire-fighting foam, hydraulic aviation fluids) of being used in production processes or for which the presence of PFOS and its related substances is suspected in articles should be better investigated to improve the inventory. Besides that, the uses of HBCD in Brazil still require further investigation.

It is necessary to carry out a survey on techniques and practices used by WEEE plastic recycling companies to check the activity's actual situation in Brazil. It is important to check the necessary adjustments for reducing POP-PBDE releases during the recycling process and occupational exposure to these pollutants. Thus, the New Inventory and Action Plan for these POPs will include activities for the collection of information on the sector, the development of a guide to promote the sorting out of equipment that contain POP-PBDEs, the use of technologies that reduce releases of these substances and to indicate the kind of uses that will not be permitted for recycled plastics containing POP-PBDEs. These activities shall be executed in collaboration with the sector, which may also contribute to promoting the BAT/BEP guidance among recycling companies and workers. Furthermore, new indicative inventories and action plans for Hexachlorobutadiene, Pentachlorophenol and its salts and esters, and Polychlorinated Naphthalenes will be developed.

Step 3: Updating the National Action Plan and developing the NIP

This step will update existing action plans for taking into account the improved inventories and develop new action plans necessary to address the newly adopted POPs not approached in the first NIP. The component will engage stakeholders to validate the plans before they are compiled into the revised national implementation plan.

Many of the outputs of earlier components will then be gathered to develop the updated NIP. It will set out current understanding of POPs issues in Brazil, including existing control measures and management arrangements as well as new and revised inventories. It will establish a ranking of actions based on obligations set out in the Convention and the risks posed to human health and the environment in Brazil and set out cost-effective action plans for the newly adopted POPs. .

Step 4: NIP endorsement

Finally, the draft revised NIP is reviewed by national stakeholders and endorsed by them. This process of wide consultation will likely include inter-ministerial meetings, workshops with non-Government stakeholders, written communications and discussions leading to a revised NIP that is widely accepted and can be endorsed by Government for submission to the Secretariat of the Convention.

Expected Outputs and planned activities:

- 2.1 Technical guidance and support provided to strengthen the national coordination mechanism for NIP updating and future implementation.
 - 2.1.1 *National inception workshop to identify key stakeholders and agree on their roles; agree on project workplan and budget; development of a monitoring and evaluation plan and an awareness raising strategy to be implemented throughout the project;*
 - 2.1.2 *Develop initial assessment of institutional needs and strengths;*
 - 2.1.3 *Develop ToRs for National Coordination Mechanism for NIP updating.*
- 2.2 Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available.
 - 2.2.1 *Update the comprehensive overview of national infrastructure and regulatory framework to manage POPs and prepare report;*
 - 2.2.2 *Update inventories to cover all 26 POPs;*
 - 2.2.3 *Develop an overview of POPs impacts to human health and the environment and prepare report.*
- 2.3 Draft updated NIP developed based on identified national priorities.
 - 2.3.1 *Develop report on national progress made on POPs management after NIP submission;*
 - 2.3.2 *Action Plans for all POPs developed and/or updated and validated by all stakeholders;*
 - 2.3.3 *Develop and make available to all stakeholders a gap analysis report;*
 - 2.3.4 *Make draft NIP updated available to all stakeholders.*
- 2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat.
 - 2.4.1 *Develop and implement NIP outreach strategy report in consultation with key national stakeholders;*
 - 2.4.2 *Develop and initiate the implementation of a roadmap for NIP endorsement and submission to the Stockholm Convention Secretariat.*

Component 3: Monitoring and Evaluation

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

UNEP will monitor the project progress according to the workplan on a regular basis and provide guidance to the Executing Agency to progress according to the workplan. Yearly during the GEF PIR UNEP will provide information about the status of the project implementation and the disbursements made.

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

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

An independent terminal evaluation (TE) will take place at the end of project implementation, latest 6 months after completion of the project. The Evaluation Office of UNEP will be responsible for the TE and liaise with the UNEP Task Manager at DTIE Chemicals Branch throughout the process. The TE will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and executing partners – Ministry of Environment of Brazil in particular. The direct costs of the evaluation will be charged against the project evaluation budget. The TE report will be sent to project stakeholders for comments. Formal comments on the report will be shared by the Evaluation Office in an open and transparent manner. Project performance will be assessed against standard evaluation criteria using a six point rating scheme. The final determination of project ratings will be made by the Evaluation Office when the evaluation report is finalised. The evaluation report will be publically disclosed and will be followed by a recommendation compliance process.

Expected outputs and planned activities:

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

- 3.1.1 *EA develops and submit technical and financial reports quarterly to UNEP using UNEP's templates;*
- 3.1.2 *UNEP communicate project progress to the GEF yearly during the PIR using GEF's template.*
- 3.1.3 *Develop and submit terminal report and final statement of accounts to UNEP at project end.*
- 3.1.4 *Identify and contract independent audit company or government auditor to carry out the final financial audit;*
- 3.1.5 *Submit final financial audit to UNEP.*

3.2 Independent terminal evaluation developed and made publicly available.

3.2.1 *UNEP EO carry out the terminal evaluation upon the request of the UNEP Task Manager and make it publicly available in the UNEP website.*

Table 1: Monitoring and Evaluation

M&E activity	Purpose	Responsible Party	Budget (US\$)* ¹	Time-frame
Inception workshop*	Awareness raising, building stakeholder engagement, detailed work planning with key groups	EA	0	Within two months of project start
Inception report	Provides implementation plan for progress monitoring	Project coordinator Ministry of Environment	0	Immediately following 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	UNEP	0	Regularly
Technical Progress reports	Describes progress against annual work plan for the reporting period and provides activities planned for the next period	Project Coordinator Ministry of Environment	0	Every three months
Financial Progress Reports	Documents project expenditure according to established project budget and allocations	Project Coordinator Ministry of Environment	0	Every three months
Terminal report	<ul style="list-style-type: none"> ✓ Reviews effectiveness against implementation plan; ✓ Highlights technical outputs; ✓ Identifies lessons learnt and likely design approaches for future projects, assess the likelihood of achieving design outcomes. 	Project Coordinator Ministry of Environment	0	At the end of project implementation
Terminal evaluation**	<ul style="list-style-type: none"> ✓ Single report that reviews effectiveness, efficiency and timeliness of project implementation, coordination mechanisms and outputs; ✓ Identifies lessons learnt and likely remedial actions for future projects; ✓ Highlights technical achievements and assesses against prevailing benchmarks. 	UNEP EO appointed Independent external consultant	15,000	At the end of project implementation
Independent Financial Audit	Reviews use of project funds against budget and assesses probity of expenditure and transactions	EA	10,000	At the end of project implementation
Total indicative M&E cost*¹			25,000	

*budgeted as part of activity 1

**Amount of terminal evaluation has been extracted from project documents for each participating country. Required amount will be calculated by the UNEP EO at project completion. This amount will include funds to support national terminal report development and/or audit reports.

Project Stakeholders and gender considerations

Participation of the general public, the Consumer Protection Offices, NGOs, and other stakeholders during different stages of the project or during the NIP preparation contributes to a better awareness of the population and integrates their interests for health and environmental protection in the policies. Furthermore, there are several different NGOs specialised in these fields that can help in the project development and implementation.

The future NIP implementation will lead to the reduction of risks to the population, especially to the most vulnerable ones. For example, in agricultural communities in developing countries men may be at higher exposure to chemicals pesticides during application, while women and children may be more likely to be indirectly exposed during planting and harvesting. In some developing countries Dieldrin and Hexachlorobenzene (solvent in pesticide) are still used in agriculture⁵. In 2010, the International Labour Organization (ILO) estimated that approximately 70% of all children labourers from 5 to 17 years old work in agriculture. The FAO statistics from 2010 indicate that approximately 43% of all women in the work market work in agriculture. There is also an established link between poverty and the increased risk of exposure to toxic and hazardous chemicals. Exposure of poor people to toxic chemicals is often strongly correlated to geography, where low income populations typically reside in places considered undesirable, such as areas in the proximity to a factory, landfills, site incinerators and/or hazardous waste dumps (UNDP, 2011).

This project will also encourage the participation of women and minority groups in the whole NIP process. Women will have an active role in the different project components and their equal participation will be sought. When possible, data disaggregated by sex you will be collected to allow policy makers to develop public policies that target both women and man and foster gender equity. A gender specialist will be engaged in project component one to ensure gender considerations are fully taken into account in the NIP updating.

At the international level, the project will include:

- a) **UNEP DTIE Chemicals:** as an implementing Agency, UNEP will provide technical oversight and administrative support to the National Coordinating agency and the National Coordinator. UNEP will also provide the global perspective and experience from other countries;
- b) **UNEP Regional Office for Latin America and the Caribbean (ROLAC),** which will identify opportunities for regional synergies and areas of cooperation. Some examples may include: coordination of regional information exchange and provision of documents and inventories from other countries in the region, identification of regional experts, etc;
- c) **Stockholm/Basel Regional Centres** in the region: the Centres will coordinate some key technical activities at the regional level and will provide key expert and technical support as needed. Some examples may include: analytical support for POPs identification and characterization, provision of experts to provide training, assessment of the situation regionally, etc;
- d) **Stockholm Convention Secretariat:** provides technical support to a Party on request as a part of their work-programme. UNEP will coordinate with the Secretariat in specific training activities and will provide technical expertise to deliver effective and needed technical support in a timely manner. Examples of activities to be mutually supported by the Secretariat and UNEP include the organization of webinars on specific topics, the organization of training workshops, the provision of guidance materials, etc;
- e) **Others:** such as internationally accredited recognized laboratories to analyze new POPs, regional and international consultants, interested Intergovernmental Organizations, etc.

At the national level, the project will include:

- 1 **The Ministry of the Environment (MMA)** as national executing agency for the project, whose role is to coordinate the NIP update actions.
- 2 **The National Commission for Chemical Safety (CONASQ)** that comprises over 20 government institutions and

⁵ Chemicals and gender: Gender Mainstreaming Guidance Series (2011). United Nations Development Programme (UNDP).

NGOs, chaired by MMA, will provide peer review and comment upon project outputs, provide guidance to the project at the macro-level, ensure that the contributions from stakeholders are incorporated into the project, and help disseminate project findings and outputs. The responsibilities pertinent to POPs of Ministries represented on CONASQ are set out in Table 2.

3 In addition to these, **NGO representatives** includes the Workers' Central Trades Union (CUT), the National NGO Forum (FBOMS), the Universities of Brasilia and São Paulo, the Brazilian Association of State Environmental Agencies (ABEMA), the Brazilian Chemical Industry Association (ABIQUIM), and the Pan-American Health Organization (PAHO). Other NGOs may be identified during the project implementation.

Table 2: Stakeholders participation in the project

Ministry	Responsible entity	Responsibility/expertise
Ministry of Health (MS)	Secretary of Health Monitoring (SVS)	Environmental monitoring and control of threats to human health and potable water quality from: chemical and physical contaminants; natural disasters; accidents involving hazardous products
	National Foundation for Health (FUNASA)	Campaigns of public health, including disease vector control; Addressing problems in the use of pesticides; and Safety and final disposal of stocks of pesticides used in public health, such as DDT
	National Agency for Sanitary Surveillance (ANVISA)	<ul style="list-style-type: none"> • Promoting and protecting public health through the control of production and use of products and services representing sanitary risks; • Provision of controls and quarantine at ports, airports and frontier crossings; • Registration and recording of products and services, including chemicals, representing health risks.
	Oswald Cruz Foundation (FIOCRUZ)	Research and analysis of threats to public health, the health of workers and ecotoxicology
Ministry of Labour and Employment (MTE)	Secretary for Inspection of Work (SIT)	Provision, monitoring and enforcement of standards and norms for worker safety and occupational health
	Jorge D Figueiredo Foundation (FUNDACENTRO)	Science and technology support to public and private entities in respect of reducing chemicals risks (i) in the work place; (ii) in agricultural work
Ministry of Transport (MT)		Sound management of PCBs equipment in national railway systems and the regulation of the transportation of hazardous goods
	National Land Transport Agency (ANIT)	Regulation of land transport of hazardous goods
	National Agency for Water Transport (ANTAQ)	Regulation of transport and shipping of hazardous goods by water
Ministry of Agriculture, Livestock and Supply (MAPA)		Promotion, regulation and protection of agriculture and livestock production; Control and regulation of the production, trade and use of pesticides
Ministry of Development, Industry and External Trade (MDIC)		Policies and regulation of external trade; Collection and maintenance of information about trade via information system ALICEWEB
	National Institute for Metrology, Standards and Industrial	Provision and enforcement of certification and inspection schemes; Accreditation of calibration laboratories, including those for the detection and characterization of POPs

	Quality (INMETRO)	
Ministry of Science and Technology (MCT)		Development and implementation of national policy with regard to science and technology; Secretariat of inter-ministerial commission for the application of the Convention on Chemical Weapons; Promotion and development of cleaner production techniques for industry
Ministry of Mines and Energy (MME)		Management and elimination of PCB equipment in the energy and mining sectors
	Centrais Elétricas Brasileiras SA (ELETROBRÁS)	Inventory and guidance for the management and elimination of PCBs in the energy sector
Ministry of Foreign Affairs (MRE)	Departments of (i) Environment and Special Themes; (ii) Environmental Policy and Sustainable Development	Articulates the position of Brazil in meetings of the Parties to the Stockholm Convention and multilateral environmental agreements.
Ministry of Justice (MJ)	Federal Police Federal Traffic Police	Control and enforcement of laws and regulation governing national and international transport of hazardous products, prevention of smuggling and illegal trade.
Ministry of Education (ME)		Responsibilities for tertiary education and federal research, provision and dissemination of academic training and research
Ministry of Finance	Secretariat for Federal Revenues; Coordinator General of Revenues (COFIS) & Customs Administration (COANA)	Acts in the control of foreign trade of products and chemical substances, including POPs.
Ministry of National Integration	National Civil Defense System (SINDEC)	Coordinates efforts to prepare for and respond to national emergencies and natural disasters

c. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION

At the national level, the National Coordinating Committee (CONASQ) will guide the Project. This Committee includes national stakeholders involved in POPs management as indicated above. This team will meet regularly and will assess progress made in the project and will also identify problems in executing the project. The outcomes of the National Coordinating Committee Meetings will be communicated to the Implementing Agency.

The UNEP NIP updating method is based on the development of national capacity to manage POPs while establishing linkages to regional or sub-regional technical expertise to support the process and the provision of global coordination. Each Party will make an individual submission to the GEF but each regional grouping will access the same sources of technical expertise through the global component. This allows each Party to proceed at their own pace and to include elements that are specific to their countries.

The key features of the project are:

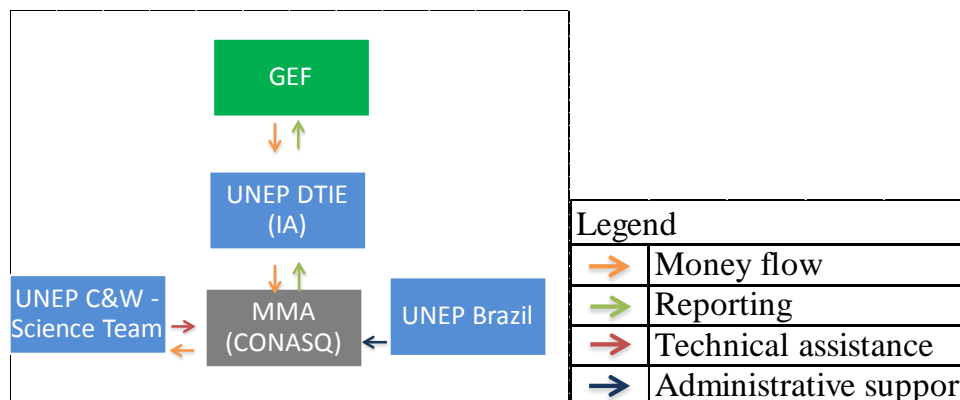
UNEP as Implementing Agency will:

1. Serve as the Implementing Agency for the project;
2. Liaise with technical experts in each region or sub-region for identified groups of Parties. Each Party (or its members) will access regional experts identified by UNEP;
3. Undertake the implementation of the project such as handling administrative issues of the GEF project and in addition UNEP will also provide the global perspective to ensure that knowledge is shared amongst Parties and common approaches are taken. This should produce NIPs that are more comparable;
4. Work, as much as possible, in close cooperation with the BRS Secretariat to ensure that synergies can evolve, including joint training activities and sharing of guidance materials.

The National Executing Agency will:

2. Engage a National Coordinator for the duration of the NIP updating project. This person will be recruited locally and will be responsible for delivering the components of the project. Reporting to the National executing agency;
3. Engage a technical assistant on a part or full time basis will be engaged to help the National Coordinator deliver the outcomes of the project;
4. Provide the offices and operating expenses of the National Coordinator and the Technical Assistant;
5. Request the National Coordinator to draw on the UNEP Chemicals and Wastes for assistance with the components of the project and with UNEP for additional help and administrative needs;
6. Have access to additional resources such as to engage consultants as necessary to assist further with specialist tasks such as inventorying and audits;
7. Form the National Coordinating Unit, which will have an established place within the Ministry hosting the National Coordinator;

Figure 1: Institutional Arrangements



D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT

This project will use the recently developed guidance, prepared by UNIDO, to develop the National Implementation Plan on POPs

(<http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceforDevelopingNIP/tabid/3166/Default.aspx>).

Using the guidance is the first step to ensure that NIPs are comparable and consistent with the Convention objectives.

UNEP will assist Brazil to continue building capacity for POPs management and will make sure that external expertise contracted for specific reasons would truly build capacity. In this sense, regional and global experts will be available to support countries not only for a single intervention but for longer term if needed. This project will also call upon national expertise in the first place. UNEP will also deploy experts to assist with the NIP updating and will work closely with the Stockholm Convention Secretariat for the organization of face-to-face meetings with countries and to create joint programmes and initiatives to provide technical advice to countries.

Inter-sectorial coordination is the basis for this project. This will imply that sound planning and coordination will be integrated across government and endorsed by key players. POPs actions and further implementation will be the responsibility of many key players, not only the Executing Agency. It will imply that POPs actions will be distributed among a range of ministries implicated or concerned by POPs. In that sense, investing funds now will save a considerable amount of funds that are likely to be spent in remedial costs.

E. DESCRIBE THE BUDGETED M&E PLAN:

More detailed information about project monitoring and evaluation can be consulted in the project component 3 monitoring and evaluation.

F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE):

NA

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):

(Please attach the *Operational Focal Point endorsement letter(s)* with this template).


NAME	POSITION	MINISTRY	DATE (Month, day, year)
Mr. Marcelo Moises de Paula	General Coordinator for External Financing at the Secretariat of International Affairs	MINISTRY OF PLANNING BUDGET AND MANAGEMENT	May, 18, 2016

B. Convention Participation

CONVENTION	DATE OF RATIFICATION/ ACCESSION (mm/dd/yyyy)	NATIONAL FOCAL POINT
UNCBD	28/02/1994	MINISTRY OF EXTERNAL RELATIONS – DIVISION OF ENVIRONMENT (DEMA)
UNFCCC	28/02/1994	MINISTRY OF EXTERNAL RELATIONS – DIVISION OF CLIMATE, OZONE AND CHEMICAL SAFETY
UNCCD	25/06/1997	MINISTRY OF EXTERNAL RELATIONS –

		DIVISION OF ENVIRONMENT (DEMA)	
STOCKHOLM CONVENTION	16/06/2004	MINISTRY OF EXTERNAL RELATIONS – DIVISION OF CLIMATE, OZONE AND CHEMICAL SAFETY	
MINAMATA CONVENTION	DATE SIGNED 11/10/2013	NATIONAL FOCAL POINT:	DATE OF NOTIFICATION UNDER ARTICLE 7 TO THE MINAMATA CONVENTION SECRETARIAT

C. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies⁶ and procedures and meets the standards of the GEF Project Review Criteria for Chemicals and Wastes Enabling Activity approval in GEF 6.					
Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	E-mail Address
Brennan Van Dyke Director, UNEP GEF Coordination Office		August 15, 2016	Kevin Helps Senior Programme Officer DTIE, UNEP	+254-20- 762-3140	Kevin.Helps@unep.org

ANNEXES:

- A. CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY WITH GEF FUNDING
- B. GEF OFP ENDORSEMENT LETTER
- C. ENVIRONMENTAL AND SOCIAL SAFEGUARDS
- D. ACRONYMS AND ABBREVIATIONS
- E. SUPERVISION PLAN
- F. GEF APPROVED BUDGET

⁶ GEF policies encompass all managed trust funds, namely: GEFTE, LDCF, and SCCF.

ANNEX A: CONSULTANTS TO BE HIRED FOR THE ENABLING ACTIVITY WITH GEF FUNDING				
<i>Position Titles</i>	<i>\$/ Person Week</i>	<i>Estimated Person Weeks</i>	<i>Total</i>	<i>Tasks to be Performed</i>
For EA Management				
Local				
Project Coordinator	250	41	10,250	day to day supervision and coordination of the project, position paid at 25%
UNEP Brazil administrative support	200	62	12,400	Administrative support to project administration
For Technical Assistance				
Project Component 2: NIP development				
Local				
National experts to assist with the NIP development	250	88	22,000	(i) assist to update the existing POPs inventories and to develop the inventories for the new POPs, including the assessment of the national regulatory and institutional framework for POPs management and a POPs Risk management and impact assessment study; (ii) Development of action plans for all POPs, including the review of the existing action plans and the gap analysis and proposals to address gaps; (iii) Drafting of the updated National Implementation Plan on POPs.
International				
International expert to support NIP development	2,000	22	44,000	(i) International expert to build national capacity on new POPs inventories; (ii) International expert to build national capacity on the development of Action Plans with focus on new POPs.

ANNEX B: GEF OFP ENDORSEMENT LETTER

ANNEX C: Environmental and Social Safeguards Checklist

As part of the GEFs evolving Fiduciary Standards that Implementing Agencies have to address ‘Environmental and Social Safeguards’. To fill this checklist:

- STEP 1: Initially assess E&S Safeguards as part of PIF development. The checklist is to be submitted for the CRC.
- STEP 2 : Check list is reviewed during PPG project preparation phase and updated as required
- STEP 3 : Final check list submitted for PRC showing what activities are being undertaken to address issues identified

UNEP/GEF Environmental and Social Safeguards Checklist

Project Title:	Review and update of the national implementation plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) in Brazil		
GEF project ID and UNEP ID/IMIS Number		Version of checklist	
Project status (preparation, implementation, MTE/MTR, TE)	Preparation/submission	Date of this version:	15/06/2016
Checklist prepared by (Name, Title, and Institution)	Kevin Helps – Senior Programme Officer GEF Operations - UNEP DTIE Chemicals		

In completing the checklist both short- and long-term impact shall be considered.

Section A: Project location

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Is the project area in or close to -		
- densely populated area	N.A.	The project will assess the situation with regard to POPs in Brazil. It will not take direct action on the ground but inventories prepared to address priority issues will take socio-economic and environmental considerations into account.
- cultural heritage site	N.A.	
- protected area	N.A.	
- wetland	N.A.	
- mangrove	N.A.	
- estuarine	N.A.	
- buffer zone of protected area	N.A.	
- special area for protection of biodiversity	N.A.	
- Will project require temporary or permanent support facilities?	N.A.	
<i>If the project is anticipated to impact any of the above areas an Environmental Survey will be needed to determine if the project is in conflict with the protection of the area or if it will cause significant disturbance to the area.</i>		

Section B: Environmental impacts

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	Yes/No/N.A.	Comment/explanation
- Are ecosystems related to project fragile or degraded?	N.A.	The project will assess the situation with regard to POPs in Brazil. It will not take direct action on the ground but assessments and POPs
- Will project cause any loss of precious ecology, ecological, and economic functions due to construction of infrastructure?	No	
- Will project cause impairment of ecological opportunities?	No	
- Will project cause increase in peak and flood flows? (including from temporary or permanent waste waters)	No	
- Will project cause air, soil or water pollution?	No	

- Will project cause soil erosion and siltation?	<i>No</i>	inventories will assist the country to identify priority issues in relation to human health and the environment, where socio-economic and environmental considerations will be identified.
- Will project cause increase waste production?	<i>No</i>	
- Will project cause Hazardous Waste production?	<i>No</i>	
- Will project cause threat to local ecosystems due to invasive species?	<i>No</i>	
- Will project cause Greenhouse Gas Emissions?	<i>No</i>	
- Other environmental issues, e.g. noise and traffic	<i>No</i>	
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

Section C: Social impacts

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Does the project respect internationally proclaimed human rights including dignity, cultural property and uniqueness and rights of indigenous people?	<i>Yes</i>	It will respect cultural aspects in Brazil.
- Are property rights on resources such as land tenure recognized by the existing laws in affected countries?	<i>N.A.</i>	
- Will the project cause social problems and conflicts related to land tenure and access to resources?	<i>N.A.</i>	
- Does the project incorporate measures to allow affected stakeholders' information and consultation?	<i>Yes</i>	The project will strengthen the existing National Coordinating Committee, including all relevant stakeholders. This group will assess project progress at the national level and will propose if necessary corrective actions. Additionally, the Project Implementing Agency will provide technical feedback as assistance to Brazil.
- Will the project affect the state of the targeted country's (-ies') institutional context?	<i>Yes</i>	In the medium to long-term it is expected that the national regulatory system will be revised to include provisions in compliance with the Stockholm Convention.
- Will the project cause change to beneficial uses of land or resources? (incl. loss of downstream beneficial uses (water supply or fisheries)?	<i>No</i>	
- Will the project cause technology or land use modification that may change present social and economic activities?	<i>No</i>	The project might identify actions to change current practices towards the sound management of POPs.
- Will the project cause dislocation or involuntary resettlement of people?	<i>No</i>	
Will the project cause uncontrolled in-migration (short- and long-term) with opening of roads to areas and possible overloading of social infrastructure?	<i>No</i>	
- Will the project cause increased local or regional unemployment?	<i>No</i>	
- Does the project include measures to avoid forced or child labour?	<i>No</i>	
- Does the project include measures to ensure a safe and healthy working environment for workers employed as part of the project?	<i>No</i>	Those doing the inventory on the field will use

		protective equipment to avoid contamination with those chemicals.
- Will the project cause impairment of recreational opportunities?	No	
- Will the project cause impairment of indigenous people's livelihoods or belief systems?	No	
- Will the project cause disproportionate impact to women or other disadvantaged or vulnerable groups?	No	
- Will the project involve and or be complicit in the alteration, damage or removal of any critical cultural heritage?	No	
- Does the project include measures to avoid corruption?	Yes	Close supervision of the expenditures will be done at the national level by the EA and overall by UNEP as IA. Cash advances will be related to outputs and held until proper justification of the expenditures and budget plans are provided.
<i>Only if it can be carefully justified that any negative impact from the project can be avoided or mitigated satisfactorily both in the short and long-term, can the project go ahead.</i>		

Section D: Other considerations

If negative impact is identified or anticipated the Comment/Explanation field needs to include: Project stage for addressing the issue; Responsibility for addressing the issue; Budget implications, and other comments.

	<i>Yes/No/N.A.</i>	<i>Comment/explanation</i>
- Does national regulation in affected country (-ies) require EIA and/or ESIA for this type of activity?	No	
- Is there national capacity to ensure a sound implementation of EIA and/or SIA requirements present in affected country (-ies)?	N.A.	
- Is the project addressing issues, which are already addressed by other alternative approaches and projects?	No	
- Will the project components generate or contribute to cumulative or long-term environmental or social impacts?	No	No negative impacts
- Is it possible to isolate the impact from this project to monitor E&S impact?	N.A.	

ANNEX D: ACRONYMS AND ABBREVIATIONS	
ABEMA	Brazilian Association of State Environmental Agencies
ABIQUIM	Brazilian Chemical Industry Association
ANIT	National Land Transport Agency
ANTAQ	National Agency for Water Transport
ANVISA	National Agency for Sanitary Surveillance
BAT/BEP	Best Available Techniques and Best Environmental Practices
COANA	Secretariat for Federal Revenues Customs Administrat
c-octaBDE	Commercial Octabromodiphenyl ether
COFIS	Secretariat for Federal Revenues Coordinator General of revenues
CONAMA	National Council for the Environment
CONASQ	National Commission for Chemicals Safety
COP	Conference of the Parties
CUT	Trade Union
DDT	Dichlordiphenyltrichlorethan
DTIE	Division of Technology, Industry and Economics
EEE	Electrical and Electronic Equipment
ELETROBR	Centrais Eletricas Brasileiras SA
EO	Evaluation Office
EPS	Expanded polystyrene
FAO	Food and Agriculture Organization
FBOMs	Brazilian Forum of NGOs and Social Movements
FIOCRUZ	Oswald Cruz Foundation
FUNASA	National Foundation for Health
FUNDACEN	Jorge D Figueiredo Foundation
GEF	Global Environment Facility
GEF SEC	Global Environment Facility Secretariat
GEFTF	Global Environment Facility Trust Fund
GHS	Global Harmonized System
HBCD	Hexabromocyclododecane
heptaBDE	Heptabromodiphenyl ether
hexaBDE	Hexabromodiphenyl ether
HIPS	High Impact Polystyrene
IBAMA	Brazilian Institute for the Environment and Natural Renewable Resources
ILO	International Labour Organization
INMETRO	National Institute for Metrology, Standards and Industrial Quality
IT	Information and Technology
LDCF	Least Developed Countries Fund

MAPA	Ministry of Agriculture, Livestock and Supply
MCT	Ministry of Science and Technology
MDIC	Ministry of Development, Industry and External Trade
ME	Ministry of Education
MJ	Ministry of Justice
MMA	Ministry of Environment
MME	Ministry of Mines and Energy
MRE	Ministry of Foreign Affairs
MS	Ministry of Health
MT	Ministry of Transport
MTE	Ministry of Labour and Employment
NGOs	Non-Governmental Organizations
NIP	National Implementation Plans
PAHO	Pan.American Health Organization
PCB	Polychlorinated Byphenyls
PFOS	Perfluorooctane sulfonic acid and its salts
PFOSF	Perfluorooctane sulfonyl fluoride
PIR	Project Implementation Review
POPs	Persistent Organic Pollutants
PBDEs	Polybrominated Diphenyl Ethers
ROLAC	Regional Office for Latin America and Caribbean
SCCF	Special Climate Change Fund
SINDEC	National Civil Defense System
SISNAMA	National Environmental System
SIT	Secretary for Inspection of Work
SIT	Secretary for Inspection of Work
SMCQ	Secretariat of Climate Change and Environment
SVS	Secretary of Health Monitoring
UNCBD	United Nations Convention on Biological Diversity
UNCCD	United Nations Convention to Combat Desertification
UNDAF	United Nations development Assistance Framework
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNIDO	United Nations Industrial Development Organization
WEEE	Waste Electrical and Electronic Equipment
XPS	Extruded polystyrene

ANNEX E: SUPERVISION PLAN

Project Title:	Review and Update of the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutents (POPs) in Brazil																								
Project executing partner:	Ministry of Environment																								
Project implementation period (add additional years as required):	Year 1												Year 2												
	Mth no	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24
Executing partner	█																								
UNEP/DTIE Chemicals (Implementing)	◆																								
Output	◆																								
Activity/Task/Output																									
Output 1.1 Capacity building and technical assistance provided to countries to develop NIPs while building sustainable foundations for its future implementation																									
1.1.1 Organise training on project coordination and lessons learned and good practices from previous projects. A gender expert will be engaged at this stage to ensure gender considerations are fully taken into account in the project implementation		█	█	█	█																				
1.1.2 Organise regional discussions and information exchange on POPs on the basis of updated NIPs																		█	█	█	█				
Output 1.2 Knowledge management services provided																									
1.2.1 Update/revise/enhance database of experts on POPs management		█	█	█	█															◆					
1.2.2 Incorporate inventory data into the SSC clearinghouse																		█	█	█	█				
1.2.3 Identify and disseminate lessons learned																				█					
Output 2.1 Technical guidance and support provided to strengthen the national coordination mechanism for NIP development and future implementation																									
2.1.1 National inception workshop to identify key stakeholders and agree on their roles; agree on project workplan and budget; development of a monitoring and evaluation plan and an awareness raising strategy to be implemented throughout the project		█	█	█	█																				
2.1.2 Develop initial assessment of institutional needs and strengths		█	█	█	█																				
2.1.3 Develop ToRs for National Coordination Mechanism for NIP development		█	█	█	█																				
Output 2.2 Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available													◆												
2.2.1 Develop a comprehensive overview of national infrastructure and regulatory framework to manage POPs and prepare report					█	█	█	█	█																
2.2.2 Update inventories to cover all 26 POPs																									
2.2.3 Develop an overview of POPs impacts to human health and the environment and prepare report.												█	█												
Output 2.3 Draft updated NIP developed based on identified national priorities																									
2.3.1 Develop report on national progress made on POPs management after NIP submission																									
2.3.2 Action Plans for all POPs developed and/or updated and validated by all stakeholders																									
2.3.3 Develop and make available to all stakeholders a gap analysis report																									
2.3.4 Make draft NIP updated available to all stakeholders																									
Output 2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat.																									
2.4.1 Develop and implement NIP outreach strategy report in consultation with key national stakeholders																									
2.4.2 Develop and initiate the implementation of a roadmap for NIP endorsement and submission to the Stockholm Convention Secretariat																									
Output 3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF																									◆
3.1.1 EA develops and submit technical and financial reports quarterly to UNEP using UNEP's templates;					█				█			█													
3.1.2 UNEP communicate project progress to the GEF yearly during the PIR using GEF's template.																									
3.1.3 Develop and submit terminal report and final statement of accounts to UNEP at project end.																									
3.1.4 Identify and contract independent audit company or government auditor to carry out the final financial audit;																									
3.1.5 Submit final financial audit to UNEP.																									
Output 3.2 Independent terminal evaluation developed and made publicly available.																									◆
3.2.1 UNEP EO carry out the terminal evaluation upon the request of the UNEP Task Manager and make it publicly available in the UNEP website.																									█

ANNEX F: GEF APPROVED BUDGET

RECONCILIATION BETWEEN GEF ACTIVITY BASED BUDGET AND UNEP BUDGET BY EXPENDITURE CODE (GEF FINANCE ONLY)								
Project No:					Total GEF funding		273,750	
Project Name: Review and update of the National Implementation Plan for the Stockholm Convention on POPs in Brazil					IA fee (9.5%)		23,750	
Executing Agency: Ministry of Environment					Project funding		250,000	
Source of funding (noting whether cash or in-kind):		GEF Trust Fund Cash						
UNEP BUDGET LINE/OBJECT OF EXPENDITURE	BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY *					ALLOCATION BY CALENDAR YEAR **		
	Component 1	Component 2	Component 3		Total	Year 1	Year 2	Total
	Support to share information and evaluate NIPs worldwide	NIP development, endorsement and submission to the Stockholm Convention Secretariat	Monitoring and Evaluation	Project Management				
		US\$	US\$	US\$	US\$	US\$	US\$	US\$
10 PROJECT PERSONNEL COMPONENT								
1161 Project Personnel								
1161 National Project coordinator				10,250	10,250	7,175	3,075	10,250
1161 Technical Project Officer								
1161 Sub-Total		0		10,250	10,250	7,175	3,075	10,250
1161 Consultants w/m								
1161 National Consultants		22,000			22,000	15,400	6,600	22,000
1161 International Consultants		44,000			44,000	30,800	13,200	44,000
1161 Sub-Total		66,000	0	0	66,000	46,200	19,800	66,000
1161 Administrative support								
1161 Support staff				12,400	12,400	6,200	6,200	12,400
1161 Sub-total		0		12,400	12,400	6,200	6,200	12,400
1561 Travel on official business								
1561 Travel on official business experts		12,000			12,000	6,000	6,000	12,000
1561 Sub-Total		12,000	0	0	12,000	6,000	6,000	12,000
1561 Component Total		78,000	0	22,650	100,650	65,575	35,075	100,650
20 SUB-CONTRACT COMPONENT								
2261 Sub-contracts (UN organizations)								
2261 Subcontract	17,500				17,500	17,500	0	17,500
2261 Sub-Total	17,500	0	0	0	17,500	17,500	0	17,500
2261 Sub-contracts (SSFA, PCA non-UN)								
2261 Subcontract for national implementation		55,273			55,273	38,691	16,582	55,273
2261 Sub-Total		55,273			55,273	38,691	16,582	55,273
2261 Component Total	17,500	55,273	0	0	72,773	56,191	16,582	72,773
30 TRAINING COMPONENT								
3302 and 3303 Group training (field trips, WS, etc.)								
3302 and 3303 National Workshop on POPs inventory		12,000			12,000	12,000		12,000
3302 and 3303 Training workshop on POPs priority		12,000			12,000	12,000		12,000
3302 and 3303 Sub-Total		24,000	0	0	24,000	24,000	0	24,000
3302 and 3303 Meetings/conferences								
3302 and 3303 Inception workshop		5,000			5,000	5,000		5,000
3302 and 3303 Outputs validation workshops		10,000			10,000		10,000	10,000
3302 and 3303 Final workshop for NIP endorsement		5,000			5,000	5,000		5,000
3302 and 3303 National Coordination Meetings		2,500		0	2,500	1,750	750	2,500
3302 and 3303 Sub-Total	0	22,500	0	0	22,500	6,750	15,750	22,500
3302 and 3303 Component Total	0	46,500	0	0	46,500	30,750	15,750	46,500
40 4261 Expendable equipment								
4261 Operating costs				77	77	39	39	77
4261 vehicle maintenance					0			0
4261 Sub-total		0	0	77	77	39	39	77
4261 Non-expendable equipment								
4261 Computer, fax, photocopier, projector					0			0
4261 Software					0			0
4261 Sub-total	0	0	0	0	0	0	0	0
4261 Component Total	0	0	0	77	77	39	39	77
50 MISCELLANEOUS COMPONENT								
5161 Reporting costs (publications, maps, NL)								
5161 Finalization of report and dissemination strategy		5,000			5,000		5,000	5,000
5161 Sub-Total		5,000	0	0	5,000	0	5,000	5,000
5161 Sundry								
5161 Recuperation of costs					0	0	0	0
5161 Sub-Total			0		0	0	0	0
5161 Project closing and evaluation								
5161 Terminal Evaluation			15,000		15,000		15,000	15,000
5161 Final audit			10,000		10,000		10,000	10,000
5161 Sub-Total		0	25,000	0	25,000	0	25,000	25,000
5161 Component Total		5,000	25,000	0	30,000	0	30,000	30,000
TOTAL	17,500	184,773	25,000	22,727	250,000	152,555	97,445	250,000
IA fee (9.5%)								23,750
TOTAL GEF COST								273,750

