



# REQUEST FOR CEO ENDORSEMENT<sup>1</sup>

PROJECT TYPE: Medium-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

## PART I: PROJECT INFORMATION

Project Title: Development of the Guidelines for updating of National Implementation Plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention			
Country(ies):	Global	GEF Project ID: <sup>2</sup>	4410
GEF Agency(ies):	UNIDO (select) (select)	GEF Agency Project ID:	xx/GLO/10/xxx
Other Executing Partner(s):	Secretariat of the Stockholm Convention, UNITAR	Submission Date:	28 October 2010
		Resubmission Date:	7 January 2011
GEF Focal Area (s):	Persistent Organic Pollutants	Project Duration(Months)	24 months
Name of Parent Program (if applicable): For SFM/REDD+ <input type="checkbox"/>		Agency Fee (\$):	71,900

### A. FOCAL AREA STRATEGY FRAMEWORK<sup>3</sup>

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
(select) CHEM-4	Outcome 4.1	Output 4.1.2	GEF TF	659,000	870,700
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)	Others		(select)		
Subtotal				659,000	870,700
Project management cost <sup>4</sup>			GEF TF	60,000	152,000
<b>Total project costs</b>				<b>719,000</b>	<b>1,022,700</b>

### B. PROJECT FRAMEWORK

<b>Project Objective: The general objective of the project is to develop new guidance document, update existing guidance documents, validate them and make them available for assisting countries in the preparation and updating their NIPs under the Stockholm Convention, considering the new obligation the Parties have to comply with after the listing of 9 new POPs.</b>						
Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Cofinancing (\$)
1. Specific guidance on new POPs, updating existing guidance and preparation of integrated package related	TA	Development of specific guidance on new POPs, updating existing guidance with the information related to new POPs and preparation of an integrated package incl. guidance	1.1 Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs developed 1.2 General guidance for customs on use of commercial / trade names	GEFTF	445,000	347,300

<sup>1</sup> It is important to consult the GEF Preparation Guidelines when completing this template

<sup>2</sup> Project ID number will be assigned by GEFSEC.

<sup>3</sup> Refer to the [Focal Area/LDCF/SCCF Results Framework](#) when filling up the table in item A.

<sup>4</sup> This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or cofinancing sources.

to new POPs		developed under Outcome 1	developed 1.3 Guidance for strengthening regulatory framework to enable regular monitoring of imported products / articles that may contain new POPs developed 1.4 Guidance on labeling of products / articles that contain new POPs or use new POPs during manufacture developed 1.5 Guidance for BAT/BEP for industrial chemicals developed 1.6 Database with readily accessible international information useful for developing and updating NIPs under the SC in place 1.7 Updated and consolidated package of "Guidance for developing and updating a nIP under the SC" taking into account the new POPs added to the Convention prepared			
2. Capacity building and validation of the guidance	TA	Strengthening capacity and validation of the guidance for developing and updating a NIP under the Stockholm Convention focusing on new POPs chemicals	2.1 Approach for capacity strengthening to implement the updated and consolidated guidance for developing a NIP under the SC taking into account the new POPs added to the Convention established	GEFTF	214,000	523,400
Subtotal					659,000	870,700
Project management Cost <sup>5</sup>				GEFTF	60,000	152,000
<b>Total project costs</b>					719000	1022700

**C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)**

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
GEF Agency	UNIDO	In-kind	95,000
Others	Stockholm Convention Secretariat	In-Kind	212,700
Others	UNITAR	In-Kind	22,000
Bilateral Aid Agency (ies)	Norway	Grant	182,000
Other Multilateral Agency (ies)	European Commission	Grant	511,000
<b>Total Co-financing</b>			1,022,700

<sup>5</sup> Same as footnote #3.

**D. GEF/LDCF/SCCF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY<sup>1</sup>**

GEF Agency	Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
				Grant Amount (a)	Agency Fee (b) <sup>2</sup>	Total c=a+b
UNIDO	GEF TF	Persistent Organic Pollutants	Global	719,000	71,900	790,900
(select)	(select)	(select)				0
<b>Total Grant Resources</b>				719,000	71,900	790,900

**E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:**

Component	Estimated Person Weeks	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
Local consultants*			30,000	30,000
International consultants*	47.00	165,000	395,000	560,000
<b>Total</b>		165,000	425,000	590,000

\* Details to be provided in Annex C.

**F. PROJECT MANAGEMENT COST**

Cost Items	Total Estimated Person Weeks/Months	Grant Amount (\$)	Co-financing (\$)	Project Total (\$)
Local consultants*				0
International consultants*	13.00	45,000	117,450	162,450
Office facilities, equipment, vehicles and communications*				0
Travel*		9,000	15,000	24,000
Others**	Workshops/meetings	6,000	14,550	20,550
	Printing/translation		5,000	5,000
<b>Total</b>		60,000	152,000	212,000

\* Details to be provided in Annex C.

\*\* For others, to be clearly specified by overwriting fields \*(1) and \*(2).

**G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No**

(If non-grant instruments are used, provide in Annex E an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF Trust Fund).

**H. DESCRIBE THE BUDGETED M & E PLAN:**

UNIDO will monitor and evaluate the implementation of the project in accordance with established UNIDO and GEF procedures. Monitoring and evaluation (M&E) will be based on measurable performance indicators through verifiable points, which are elaborated in the context of each Output. A detailed schedule of the project review mechanisms will be developed by project management, in consultation with project partners and incorporated in the Inception Workshop Report. Such a schedule will include: finalized timeframes for the PSC meetings, UNIDO’s reporting requirements (or relevant advisory and/or coordination mechanisms) and project related M&E activities.

## **PART II: PROJECT JUSTIFICATION**

### **A. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:**

#### A.1.1. The [GEF focal area/LDCF/SCCF strategies](#):

1. The proposed project is consistent with the GEF-5 POPs CHEM-4 “POPs enabling activities”, Outcome 4.1 “NIPs prepared or updated or national implications of new POPs assessed”, Output 4.1.2 “*Countries receiving GEF support for NIP update*”.

a.1.2. For projects funded from LDCF/SCCF: the ldcf/sccf eligibility criteria and priorities:

n/a

A.2. National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NAPs, NBSAPs, national communications, TNAs, NIPs, PRSPs, NPFE, etc.:

2. The proposed project is a global project, which aims to benefit all Parties to the Stockholm Convention as well as countries yet to be Parties. The guidance documents that will be developed or updated under this project will be based upon the copious amounts of data and knowledge gained during the activities of POPRC, as well as on the experience gathered by the implementing and executing agencies in the course of the several assistance projects concerning the preparation of NIP or the implementation of specific activity aimed at eliminating POPs in developing countries.
3. At its fourth meeting the COP by its decision SC-4/23 endorsed eight institutions to serve as Stockholm Convention regional and subregional centres for capacity-building and the transfer of technology for a period of 4 years. The project will strongly rely on the collaboration of three selected centres for the testing of the guidance documents in 3 pilot countries. These centres will ensure the integration of scientific knowledge on POPs with the knowledge of the regional and national situation, and will facilitate the involvement of the local stakeholders in the project activities.
4. The project will benefit significantly from the collaboration that the Secretariat of the Stockholm Convention (SSC) established with the European Commission (EC). EC will co-finance SSC activities and projects related to the development and updating of guidance documents on new POPs, which will be performed in tight coordination with this project.
5. Other significant inputs will derive from the cooperation established with Norway, aimed at support work on the evaluation of alternatives and other work related to the restriction and elimination of the new POPs. This work will also be performed in tight coordination with this project, and will provide significant input for the identification of alternative substances and processes.

### **B. PROJECT OVERVIEW:**

B.1. Describe the baseline project and the problem that it seeks to address:

6. The POPRC decided at its third and fourth meetings to recommend the listing of nine chemicals in Annexes A, B and/or C of the Convention and to submit that recommendation to the COP for its consideration at the meeting on 4–8 May 2009, in accordance with Article 8 paragraph 9 of the Convention. At its fourth meeting in May 2009, the COP adopted a number of decisions for the listing of the following nine additional POPs in the Convention:

<b>Chemicals</b>	<b>To be listed in Annex</b>	<b>Acceptable purpose or specific exemption</b>
Alpha- hexachlorocyclohexane ●/■	A	<b>Production:</b> None <b>Use:</b> None
Beta- hexachlorocyclohexane ●/■	A	<b>Production:</b> None <b>Use:</b> None
Chlordecone ●	A	<b>Production:</b> None <b>Use:</b> None

Hexabromobiphenyl ▲	A	<b>Production:</b> None <b>Use:</b> None
Hexabromodiphenyl ether and heptabromodiphenyl ether ▲	A	<b>Production:</b> None <b>Use:</b> Articles in accordance with the provisions of Part IV of Annex A
Lindane ●	A	<b>Production:</b> None <b>Use:</b> Human health pharmaceutical for control of head lice and scabies as second line treatment
Tetrabromodiphenyl ether and pentabromodiphenyl ether ▲	A	<b>Production:</b> None <b>Use:</b> Articles in accordance with the provisions of Part IV of Annex A
Pentachlorobenzene ●/▲/■	A & C	<b>Production:</b> None <b>Use:</b> None
Perfluorooctane sulfonic acid (PFOS) its sales and perfluorooctane sulfonyl fluoride (PFOS-F) ▲	B	<b>Production:</b> For the use below <b>Use:</b> Acceptable purposes and specific exemptions in accordance with Part III of Annex B

Pesticide ● / Industrial chemical ▲ / By-product ■

7. When additional POPs are listed in any of the Annexes of the Convention, a Party shall review and update, as appropriate, its implementation plan on a periodic basis and in a manner to be specified by a decision of the COP. In compliance with the Convention, Parties must therefore implement measures to reduce or eliminate production, uses and releases of the new POPs as called for in the Convention (Articles 3, 5, 6), and report these efforts to the Secretariat.
8. Parties are obliged to transmit their National Implementation Plans (NIPs) for the nine (9) new POPs by August 2012.
9. At the light of the introduction of the 9 new POPs in the Convention, the NIPs methodology has to be revised, which will include among others the compilation of inventories concerning the new POPs, the definition of an action plans for each new POPs, sampling and monitoring plans of the relevant media for measuring the concentration of new POPs and hence human and environmental exposure. Available information concerning use, production, labelling, disposal technologies, BAT/BEP related to the whole lifecycle of these substances should be made available to the Parties.
10. It should be noted that while the majority of initial POPs were pesticides that are no longer used in most of the world, some of the 9 new POPs have continued to be used, thus alternative technologies need to be introduced. It was also noted that some of the listed chemicals, especially industrial chemicals are still produced in some countries and used in many countries and some exist globally in stockpiles and wastes that might be eventually recycled and therefore reintroduced for use.
11. Moreover, standard screening analytical methods for some of the new POPs have not yet been identified hence the inventory of articles containing these substances (i.e. BDEs and PFOS) may face practical difficulties.
12. There is the need to provide information to the Parties on the best available techniques and best environmental practices (BAT/BEP) related to the production and use of the new POPs for which acceptable uses have been identified by the Convention, as in the case of PFOS used in photographic process or some commercial formulation containing BDEs.
13. Due to the ban of commercial PentaBDE and OctaBDE with specific exemptions for recycling of articles that may

contain these chemicals and the use and final disposal of articles manufactured from such recycled materials, BAT/BEP should be adopted in the whole lifecycle of articles to avoid their releases in the environment. Possible challenges concern, among others, the separation of articles containing BDEs from those not containing BDEs during the recycling or waste handling process. BAT and BEP have been identified in the countries that already restricted or banned the use of these substances and these need to be communicated and possibly adapted to fit the specific situation of developing countries.

14. Both mandatory and voluntary enforcement measures suitable for the specific situation of the Parties, and especially for the situation of several developing countries, have to be identified and tested. There is the need to provide clear guidance concerning the commercial trade names of the substance containing or possibly containing the new POPs, so that customs would have the capability to control the import and export of these substances; voluntary or mandatory labelling schemes must be properly identified and communicated.
15. In the absence of appropriate guidance, the development of NIPs for new POPs as well as the implementation of the relevant obligations under the Convention will be significantly delayed.
16. The Convention recognizes that a special effort may sometimes be needed to phase out certain chemicals for specific uses. The COP noted, with high priority, needs for guidance and technical/financial support for developing countries and countries with economies in transition to fully implement the new obligations.
17. The Secretariat is requested by decision SC-4/9 on National Implementation Plans to identify any additional guidance that might be required to assist Parties in their development and implementation of the Convention. The COP also decided in its decision SC-4/19 to undertake a work programme to provide guidance to Parties on how best to restrict and eliminate the 9 new POPs.
18. The updating of the NIPs implies preparing new action plans and strategies for the newly listed POPs, and adjusting existing action plans and strategies. The lesson learned by Parties in the preparation of the NIPs will constitute an important starting point for their reviewing of the NIPs.
19. Obviously the listing of new POPs in the Stockholm Convention represents for several developing countries a new challenge that cannot be properly addressed without comprehensive guidance and availability of the necessary information.
20. Several international organizations (OECD, WHO, FAO, UNITAR, UNEP, UNIDO, SETAC, etc.) publish technical documents and additional guidance materials that provide knowledge and expertise on issues related to POPs. These and other organizations frequently offer training workshops to assist developing countries and countries with economies in transition. Parties are encouraged to engage and participate actively in bilateral, regional or global cooperation programmes that include capacity building activities for the assessment and management of chemicals, including POPs. However, in the absence of official guidance on the new POPs, the support provided by these organizations could lack coordination, with the risk to provide inconsistent support to the parties.
21. Under the current project scenario, a full set of guidance for assisting countries in the preparation and reviewing of their NIPs under the Stockholm Convention will be developed to address the amendments to Annexes A, B and C adopted by the COP4, and will be made available globally in six official languages of the United Nations. Version 1 of the guidance will be presented at the COP5 in April 2011. A pilot testing in a country for validation of the applicability of the guidance will be undertaken before the COP5, followed by testing in two more countries after the COP5. Based on the feedbacks and the result of the pilot testing, the guidance will be revised to produce the final version (Ver.2) by March 2012 to warrant that Parties have sufficient and suitable guidance for updating their NIPs and transmitting them in a required time frame.
22. The consolidated set of guidance provisionally entitled “Guidance for developing and updating a National Implementation Plan (NIP) under the Stockholm Convention” will consist of the following eight supporting guiding tools which will be developed under this project, as well as revised existing guidance, and will be linked with other guidance on new POPs developed outside of this projects (e.g. guidance on alternatives to new POPs):
  - Guidance on methodologies for screening and analysis of products containing new POPs
  - Guidance for establishing inventory of products/articles containing new POPs and industrial processes using

new POPs

- General guidance for customs on use of commercial/trade names
  - Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs
  - Guidance on labelling of products/articles that contain new POPs or use new POPs during manufacture
  - Guidance for BAT and BEP for production and use of PFOS
  - Guidance for BAT and BEP for the recycling and waste disposal of articles containing BDEs
  - Database with readily accessible international information useful for development of NIPs under the Stockholm Convention
23. The existing guidance listed below will be revised taking into account the needs originating from the listing of the 9 new POPs under the Convention:
- UNEP/POPS/COP.2/INF/7 “Guidance for developing a National Implementation Plan”
  - Annex to decision SC-1/12 “Guidance for the review and updating of national implementation plans”
  - Annex to decision SC-2/7 “Elaborated process of reviewing and updating national implementation plans”
  - UNEP/POPS/COP.3/INF/8 “Guidance on social and economic assessment in the development and implementation of their national implementation plans”
  - UNEP/POPS/COP.4/INF/11 “Additional guidance on the calculation of action plan costs, including incremental costs and action plans for specific persistent organic pollutants.
24. In order to reach maximum number of target users of the guidance, an electronic format of the guidance (e.g. interactive CD-ROM) will also be created while a limited edition of hard copies will be printed.
- B. 2. [incremental /Additional cost reasoning](#): describe the incremental (GEF Trust Fund) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF financing and the associated [global environmental benefits](#) (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project:
25. In the absence of the project, the appropriate review and updating of NIPs with information and action plans concerning new POPs would be at significant risk as follows:
- Parties would not be able to update and resubmit their NIPs in due time;
  - Several updated NIPs would at the best only contain very generic information on new POPs without clearly identified actions and needs for the country, possibly delaying concrete actions;
  - Methodologies adopted for updating the NIPs would not be based on widely accepted and consolidated criteria;
  - Action plans and the related cost would be unrealistic or severely biased;
  - Action plans prepared under the revised NIPs would not clearly identify technical measures for the restriction / elimination of new POPs to be adopted during the whole lifecycle of substances and articles, so that the listing of new POPs in the Stockholm convention would be eventually less effective:
  - Action plans would not clearly identify mandatory or voluntary control measures so that the enforcement of the ban / restriction of new POPs at the national level would remain eventually uncertain.
  - In the absence of official guidance endorsed by the COP of the Stockholm Convention, the support provided by international organizations assisting developing countries in preparing and updating their NIPs may lack coordination resulting in an inconsistent and limited assistance to the Parties.
26. Under the proposed project scenario, a full set of guidance for assisting countries in the preparation and reviewing of their NIPs under the Stockholm Convention will be developed to address the amendments to Annexes A, B and C adopted by the COP4, and will be made available globally in six official languages of the United Nations. Version 1 of the guidance will be presented at the COP5 in April 2011. A pilot testing in a country for validation of the applicability of the guidance will be undertaken before the COP5 followed by testing in two more countries after the COP5. Based on the feedbacks and the result of the pilot testing, the guidance will be revised to produce the final version (Ver.2) by March 2012 to warrant that Parties have sufficient and suitable guidance for updating their NIPs and transmitting them in a required time frame.

27. The full set of guidance will enable countries to identify chemicals in products/articles, establish inventories, undertake national surveillance of imported products or products in the market whether they contain chemicals listed under the Stockholm Convention in order to ensure implementation of Article 3 and control illegal trafficking, and to handle production and use, recycling and waste disposal of industrial chemicals including PFOS and BDEs. Such guidance will be useful for all countries globally both Parties and non-Parties for environmental sound life-cycle management as well as sound trade of chemicals.

B.3. Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund) or adaptation benefits (LDCF/SCCF). As a background information, read ["Mainstreaming Gender at the GEF."](#):

28. The project will substantiate, where possible, the socio-economic and gender aspects of the Convention. Some key indicators will be added and verification elements will be associated to it. The project will widen the scope of the possible benefits for gender and encourage economic leaders to take into account the assimilation of gender issues to maximize linkages between local issues and global benefits. The project will emphasize coherence with the MDGs and corporate social responsibilities.

B.4 Indicate risks, including climate change risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks to be further developed during the project design:

Indicators	Assumption	Risks	Mitigation measures
Development of specific guidance on new POPs developed, existing guidance on NIPs updated with the information related to new POPs, the integrated package developed	<ul style="list-style-type: none"> <li>➤ Sufficient expertise can be mobilized by the executing agencies thanks to the consolidated network already in place</li> <li>➤ Industries and stakeholders will cooperate in providing information concerning articles and industrial processes using new POPs</li> <li>➤ Information on BAT and BEP and alternative substances related to the whole lifecycle of the new POPs in developed countries already partially available</li> <li>➤ The guidance will be successfully prepared and translated in the assigned timeframe</li> </ul>	<ul style="list-style-type: none"> <li>➤ Industries /stakeholders will not cooperate or provide the relevant information</li> <li>➤ The assigned timeframe would be not sufficient for the activity</li> <li>➤ Stakeholders' needs not properly addresses</li> <li>➤ Underestimation of the complexity of some tasks</li> </ul>	<ul style="list-style-type: none"> <li>➤ Identification of conflicting stakeholder interests through involvement of stakeholders in the project design process.</li> <li>➤ The project will be properly designed to take into account complexities and tight time scheduling</li> </ul>



<p>Strengthening of capacity and validation on the guidance for developing and updating a National Implementation Plan under the Stockholm Convention focusing on new POPs chemicals</p>	<ul style="list-style-type: none"> <li>➤ Sufficient expertise can be mobilized by the executing agencies thanks to the consolidated network already in place</li> <li>➤ Regional POP Centres committed to collaborate and capable to perform the assigned tasks</li> <li>➤ Training material will be prepared in due time and will address the stakeholder needs.</li> <li>➤ A strong interest in attending training exists due to the outstanding experience of the trainers and the importance of the new POPs issue.</li> <li>➤ By means of participation of the Regional Centres and thanks to the network and experience already established by the Agencies in the 3 pilot countries, the pilot inventories will be successfully completed</li> </ul>	<ul style="list-style-type: none"> <li>➤ The selected Regional Centres would lack of commitment or of human resources</li> <li>➤ Key experts leave the organization or are no more available for the assignment</li> <li>➤ Unexpected events / political instability in the selected countries may disrupt the project activities</li> <li>➤ Stakeholders' needs not properly addressed</li> <li>➤ Underestimation of the complexity of the inventory tasks</li> </ul>	<ul style="list-style-type: none"> <li>➤ Process of the pilot countries, Regional Centres and experts to be involved will be performed</li> <li>➤ The implementing agency has broad experience in implementing projects in area presenting political instability</li> <li>➤ An accurate selection</li> <li>➤ Proper consultation with stakeholders will be ensured all around the project</li> <li>➤ The implementing and executing agencies have outstanding experience in assisting countries in performing POPs inventories</li> </ul>
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B.5. Identify key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable:

29. The project will respond to the requirements of the Convention by accommodating a wider participation approach for NIP updates including all societal organizations, NGOs, Law makers, CBOs, local communities and special interest groups. Stakeholders would be involved and several communication methodologies would be proposed to cater for inclusion of all and on top of what has been reflected in the NIP guidelines.

B.6. Outline the coordination with other related initiatives:

30. The proposed project, together with other on-going projects including one under the European Commission (EC) project, will provide on the whole a crucial guidance to Parties to implement new obligations arising from the listing of the nine new POPs, including updating their National Implementation Plans in accordance with Article 7 of the Convention.

31. Under other on-going projects, awareness raising activities on Review and Updating of National Implementation Plans in light of listing of new chemicals have been carried out in 3 regions, and are still planned in 2 more regions before December 2010. These activities can be considered an entry-level introduction to the proposed project as they provide basic clarification on new obligations.

32. As a follow-up activity to the awareness trainings, an initial assessment on the status of the production, use, stockpiles, waste disposal and recycling practices concerning the new POPs at the national level as well as identification of possible challenges, management options and technical and financial assistance opportunities for the sound management of new POPs are planned to take place. This is complementary to the current project since the experience gained can be fed into the new guidance developed under the current project.

33. More guidance materials on new POPs as listed below are being developed under other on-going projects,

which will be linked with the guidance developed under the current project:

- Guidance on considerations related to alternatives and substitutes for listed persistent organic pollutants and candidate chemicals: 2009 (UNEP/POPS/POPRC.5/10/Add.1)
  - Guidance on feasible flame-retardant alternatives to commercial pentabromodiphenyl ether: 2009 (UNEP/POPS/COP.4/INF24)
  - Guidance on information collection for the 9 new POPs: Draft March 2010
  - Draft guidance document on alternatives to perfluorooctane sulfonic acid (PFOS) and its derivatives: to be prepared by the POPRC6 in October 2010
  - Compilation of the Risk Management Evaluations of the 9 new POPs: 2005-2008 (POPRC1-POPRC4)
  - Reviewing and reporting requirements for the use of lindane for human health pharmaceutical for the control of head lice and scabies as a second line treatment: to be prepared by the COP5 in April 2011.
34. Furthermore, in accordance with SC-4/19 the COP4 decided to undertake work programme to provide guidance to Parties on how best to restrict and eliminate new POPs. Under this work programme, information on new POPs in articles has been collected globally and a technical document with objectives as listed below has been developed, which will be presented at the COP5 in April 2011. Again, information and knowledge gained through this work programme can be effectively contributed to the development of the guidance documents under the current project through the coordination with the SSC.
- To assess the possible health and environmental impacts of recycling articles and containing BDEs;
  - To review the long-term environmental desirability of the recycling of articles containing BDEs;
  - To identify the best available techniques and best environmental practices (BAT/BEP) for recycling of articles containing BDEs.

### **C. GEF AGENCY INFORMATION:**

C.1 Confirm the co-financing amount the GEF agency brings to the project:

35. UNIDO will provide USD 95,000 as in-kind contribution to the MSP project.

C.2 How does the project fit into the GEF agency's program (reflected in documents such as UNDAF, CAS, etc.) and staff capacity in the country to follow up project implementation:

36. The project will carry a wide GEF agencies (IAs/EAs) consultations to ensure that specific agencies programs relevant to the Convention and MDGs would be highlighted and thereby accommodated. This will enable portfolio expansion opportunities for agencies and maximize resources mobilization for the countries.

## **PART III: INSTITUTIONAL COORDINATION AND SUPPORT**

### **A. INSTITUTIONAL ARRANGEMENT:**

37. The project implementation strategy will be based on the following principles:
- Established and well-defined cooperation and coordination among the implementation agency (UNIDO) the executive agencies (SSC, UNITAR) as well as with the Stockholm Convention Regional Centres.
  - Accountability of the project related work and expenditures of all involved Parties;
  - Transparency through clearly defined monitoring indicators and evaluation methodologies throughout the implementation.
  - Integration of sound scientific criteria all around the development of project activities
  - Involvement of stakeholders in the critical project steps.
38. Endorsement of the final product by the COP of the Stockholm Convention, taking due account to the

applicability and practicality of the guidance in the developing world.

**B. PROJECT IMPLEMENTATION ARRANGEMENT:**

39. **UNIDO** will be the **GEF implementation agency**. UNIDO will be the GEF Implementing Agency (IA) for the project. A project focal point will be established within UNIDO to assist with project execution. This focal point will consist of dedicated core staff, supplemented by support staff colleagues on a part-time basis as required, supervised by a senior professional staff engaged in the management and coordination of UNIDO's POPs and chemical management program. UNIDO will make these services available as part of its contribution to the project.
40. Benefitted with extensive network with the industry sector, UNIDO will provide entry points to the key information source in industry for development of the guidance. UNIDO will also identify, in cooperation with the **Secretariat of the Stockholm Convention (SSC)**, experts to engage in development of the below guidance:
  - Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs
  - Guidance for BAT and BEP for the production and use of PFOS
  - Guidance for BAT and BEP for the recycling and waste disposal of articles containing BDEs
  - Database with readily accessible international information useful for development of national implementation plans (NIPs) under the Stockholm Convention
41. **UNITAR** will act as **executing agency**, subcontracted on specific task assignments by UNIDO. Having experience in developing guidance for the Stockholm Convention as well as undertaking pilot projects in different countries, UNITAR will develop below guidance documents under coordination by UNIDO and final clearance by SSC:
  - General guidance for customs on use of commercial/trade names
  - Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs
  - Guidance on labelling of products/articles that contain new POPs or use new POPs during manufacture
42. UNITAR will also revise the existing guidance related to the development of NIPs:
  - UNEP/POPS/COP.2/INF/7 "Guidance for developing a National Implementation Plan"
  - UNEP/POPS/COP.3/INF/8 "Guidance on social and economic assessment in the development and implementation of their national implementation plans"
  - UNEP/POPS/COP.4/INF/11 "Additional guidance on the calculation of action plan costs, including incremental costs and action plans for specific persistent organic pollutants"
43. Furthermore, UNITAR will also perform the following activities:
  - carry out, under the project Outcome 3, the validation/field testing of the ver.1 of guidance for developing and updating a National Implementation Plan under the Stockholm Convention. One pilot testing will be carried out before the COP5;
  - develop approach for capacity strengthening to implement the guidance including training materials and provide trainings to the Regional Stockholm Convention Centres and undertake the pilot testing in three countries identified by the SSC; and
  - review the feedback from the pilot testing and training activities and revise the guidance ver.1 to produce ver.2.
44. **Secretariat of the Stockholm Convention (SSC)** will provide overall technical support as well as policy guidance and steering throughout the entire project activities to facilitate and ensure completion of the project. SSC will give the final clearance of the outputs and will coordinate translations and publications for presenting at the COP5 by April 2011, revision after the COP5 by July 2011, and for the final version after

pilot testing by March 2012.

45. **Regional and Subregional Stockholm Convention Centres** have been endorsed by the COP in its decision SC-4/23 for the purpose of capacity-building and the transfer of technology to assist developing country Parties and Parties with economies in transition to fulfil their obligations under the Convention. The collaboration with the Centres is a key factor for ensuring that the guidance and training activities meet the specific situation and needs of each region. Therefore, the Stockholm Convention Regional and Subregional Centres, coordinated by SSC, will provide input to the development of the training modules. The Centres will deliver training and capacity building activities where trainees will evaluate the guidance for further improvement. The Centres will work closely with SSC, UNITAR and UNIDO to provide feedback to the guidance.
46. **Project Steering Committee (PSC)**. The PSC consists of representatives of UNIDO, SSC and UNITAR.
47. **Technical Project Team (TPT)** will be established on a needed basis for undertaking specific tasks. It will include policy experts, POPs management and disposal industry experts, chemists, monitoring & evaluation experts and other technical experts as required. The TPT will assist the PSC through the following activities:  
(a) management and coordination of all project activities; (b) provision of technical support for policy framework, institutional strengthening, demonstration activities, technology selection, awareness raising and education, results and experience dissemination, project monitoring and evaluation, and project management; (c) periodic project implementation progress appraisal; and (d) support for development of training materials.

#### **PART IV: EXPLAIN THE ALIGNMENT OF PROJECT DESIGN WITH THE ORIGINAL PIF**

48. No PIF has been prepared for the proposed MSP.

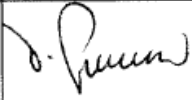
**PART V: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)**

- 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. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)

**PART V: AGENCY(IES) CERTIFICATION**

This request has been prepared in accordance with GEF policies and procedures and meets the GEF criteria for CEO Endorsement.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Mr. Dmitri Piskonov Managing Director  GEF Coordinator		July 21, 2010	M. Eisa	+43 1 26026 4261	M.eisa@unido.org

## ANNEX A: PROJECT RESULTS FRAMEWORK

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<b>Outcome 1: Development of specific guidance on new POPs, updating existing guidance with the information related to new POPs, and preparation of an integrated package</b>			
<b>Output 1.1: “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” developed</b>			
<p><b>A.1.1.1:</b> Compile accessible international information on products/articles containing new POPs through the establishment of a database and network with industry sectors</p> <p><b>A.1.1.2:</b> Develop tools for initial identification: A list of known uses including historical use of new POPs, a list of products/articles potentially containing new POPs including recycled articles, and a list of wastes and stockpiles potentially containing new POPs, a sample of effective questionnaire for information collection</p> <p><b>A.1.1.3:</b> Develop a step-by-step guide that enables Party to establish inventory of products/articles containing new POPs and industrial processes using new POPs, integrate deliverables of Activity 1.1.1 and 1.1.2 to produce ver. 1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” in English</p> <p><b>A.1.1.4:</b> Revise ver.1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> <li>➤ Compilation of international information prepared</li> <li>➤ List of known uses of products/articles containing new POPs</li> <li>➤ List of wastes and stockpiles potentially containing new POPs</li> <li>➤ Questionnaire for information collection developed</li> <li>➤ Ver.1 of Guidance for establishing inventory of products/articles containing new POPs prepared</li> </ul>	<ul style="list-style-type: none"> <li>➤ Compiled international information on products/articles containing new POPs</li> <li>➤ Report on known uses of products/articles containing new POPs including historical use of new POPs</li> <li>➤ Report on products/articles potentially containing new POPs including recycled articles</li> <li>➤ Report on wastes and stockpiles potentially containing new POPs</li> <li>➤ Sample of effective questionnaire for information collection</li> <li>➤ Ver.1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” in English</li> <li>➤ Revised ver.1 of “Guidance for establishing inventory of products/articles containing new POPs and industrial processes using new POPs” translated in six UN languages</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Sufficient expertise can be mobilized by the executing agencies</li> <li>➤ Industries and stakeholders will cooperate in providing information concerning articles and industrial processes using new POPs</li> <li>➤ Information on the historical use of new POPs still available</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Industries /stakeholders will not cooperate or provide the relevant information</li> <li>➤ Key experts leave the organization or are no longer available for the assignment</li> <li>➤ The assigned timeframe would not be sufficient for the activity</li> <li>➤ Stakeholders’ needs not properly addressed</li> <li>➤ Underestimation of the complexity of some tasks</li> </ul>

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<b>Output 1.2: “General guidance for customs on use of commercial/trade names” developed</b>			
<p><i>A.1.2.1:</i> Review of current status of nomenclature, commercial/trade names used for new POPs</p> <p><i>A.1.2.2:</i> Develop ver. 1 of “General guidance for customs on use of commercial/trade names” in English</p> <p><i>A.1.2.3:</i> Revise ver.1 of “General guidance for customs on use of commercial/trade names” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> <li>➤ Current status of nomenclature, commercial/trade names used for new POPs reviewed</li> <li>➤ Ver. 1 of the Guidance on use of commercial / trade names in English prepared</li> <li>➤ Translation of revised ver.1 of “General guidance for customs on use of commercial/trade names” in six UN languages</li> </ul>	<ul style="list-style-type: none"> <li>➤ Document summarizing the current status of nomenclature, commercial/trade names used for new POPs</li> <li>➤ Copy of Ver. 1 of “General guidance for customs on use of commercial/trade names” prepared in English</li> <li>➤ Copy of revised ver.1 of “General guidance for customs on use of commercial/trade names” translated and published in six UN languages</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Sufficient expertise can be mobilized by the executing agencies thanks to the consolidated network already in place.</li> <li>➤ Information on the trade name of new POPs as products or substance is readily available</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Trade name of obsolete product difficult to identify</li> <li>➤ The assigned timeframe would be not sufficient for the activity</li> <li>➤ Underestimation of the complexity of some tasks</li> </ul>
<b>Output 1.3: “Guidance for strengthening regulatory framework to enable regular monitoring of imported products/articles that may contain new POPs” developed</b>			
<p><i>A.1.3.1:</i> Gap analysis in existing regulatory framework/voluntary agreements</p> <p><i>A.1.3.2:</i> Decision-tree to guide Parties in conducting a regular monitoring of imported products/articles that may contain new POPs</p> <p><i>A.1.3.3:</i> Develop a tool/manual to undertake regular monitoring of imported products/articles</p> <p><i>A.1.3.4:</i> Integrate deliverables of Activity 1.3.1 -1.3.3 to produce ver. 1 of “Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs” in English</p>	<ul style="list-style-type: none"> <li>➤ Gaps on existing regulatory framework / voluntary agreements identified</li> <li>➤ Decision tree and tool/manual</li> <li>➤ Ver. 1 of the Guidance in English prepared</li> <li>➤ Translation of revised ver.1 of “Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs” in English” in six UN languages</li> </ul>	<ul style="list-style-type: none"> <li>➤ A document summarizing gaps in existing regulatory framework/voluntary agreements</li> <li>➤ Decision-tree to guide Parties in conducting a regular monitoring of imported products/articles that may contain new POPs</li> <li>➤ A tool/manual to undertake regular monitoring of imported products/articles</li> <li>➤ Copy of Ver. 1 of “Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs” prepared in English</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Sufficient expertise can be mobilized by the executing agencies thanks to the consolidated network already in place.</li> <li>➤ The required information is easily accessible by the agencies due to their outstanding role in the chemical sector</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Key experts leave the organization or are no more available for the assignment</li> </ul>

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<p><b>A.1.3.5:</b> Revise ver.1 of “Guidance for strengthening regulatory framework/voluntary agreements for regular monitoring of imported products/articles that may contain new POPs” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ Copy of revised ver.1 of “General guidance for customs on use of commercial/trade names” translated and published in six UN languages</li> </ul>	<ul style="list-style-type: none"> <li>➤ The assigned timeframe would be not sufficient for the activity</li> <li>➤ Stakeholders’ needs not properly addressed</li> <li>➤ Underestimation of the complexity of some tasks.</li> </ul>
<b>Output 1.4: “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” developed</b>			
<p><b>A.1.4.1:</b> Undertake assessment of the currently implemented labeling</p> <p><b>A.1.4.2:</b> Develop ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” in English</p> <p><b>A.1.4.3:</b> Revise ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> <li>➤ Current practices on labeling of products / articles that contain new POPs assessed</li> <li>➤ List of uses of new POPs during manufacturing process</li> <li>➤ Ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” in English prepared</li> <li>➤ Translation of revised ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” in six UN languages</li> </ul>	<ul style="list-style-type: none"> <li>➤ A document summarizing the result of assessment of the currently implemented labeling of products / articles containing new POPs</li> <li>➤ Report on uses of new POPs in manufacturing process</li> <li>➤ Copy of Ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” in English</li> <li>➤ Copy of revised ver.1 of “Guidance on labeling of products/articles that contain new POPs or use new POPs during manufacture” translated and published in six UN languages</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ The required information is easily accessible by the agencies due to their outstanding role in the chemical sector</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Key experts leave the organization or are no more available for the assignment</li> <li>➤ The assigned timeframe would not be enough for the activity</li> <li>➤ Stakeholders’ needs not properly addressed</li> <li>➤ Underestimation of the complexity of some tasks.</li> </ul>
<b>Output 1.5: Guidance for best available technology and best environmental practices for industrial chemicals developed</b>			
<p><b>A.1.5.1:</b> Gather international information on BAT/BEP for production and use of PFOS</p> <p><b>A.1.5.2:</b> Develop ver.1 of “Guidance for best available technology and best environmental practices for production and use of PFOS” in English</p>	<ul style="list-style-type: none"> <li>➤ Information on BAT/BEP for production and use of PFOS compiled</li> <li>➤ Ver. 1 of “Guidance on BAT/BEP for production and use of PFOS” developed</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ Report on BAT/BEP for production and use of PFOS</li> <li>➤ Guidance document for BAT/BEP for production and use of PFOS</li> <li>➤ Guidance document for BAT/BEP for recycling and waste disposal of articles containing BDEs</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Information on BAT and BEP and alternative substances related to the whole lifecycle of the new POPs in developed countries already partially available</li> </ul>



Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<p><b>A.1.5.3:</b> Based on the technical document developed under SC-4/19, develop ver. 1 of “Guidance for best available technology and best environmental practices for the recycling and waste disposal of articles containing BDEs” in English</p> <p><b>A.1.5.4:</b> Revise ver.1 of “Guidance for best available technology and best environmental practices for production and use of PFOS” and “Guidance for best available technology and best environmental practices for the recycling and waste disposal of articles containing BDEs” based on the COP5’s feedback and translate into five other UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p>	<ul style="list-style-type: none"> <li>➤ Ver. 1 of “Guidance for BAT / BEP of recycling and waste disposal of articles containing BDEs” developed</li> <li>➤ Translation of revised ver.1 of the 2 Guidance documents in six UN languages</li> </ul>	<ul style="list-style-type: none"> <li>➤ Copy of revised ver.1 of “Guidance for BAT/BEP for production and use of PFOS” and “Guidance for BAT/BEP for the recycling and waste disposal of articles containing BDEs” translated and published in six UN languages</li> </ul>	<ul style="list-style-type: none"> <li>➤ The guidance will be successfully prepared and translated in the assigned timeframe</li> <li>➤ The expertise gained in other POPs related activities will ensure the proper identification of the stakeholders’ needs</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Industries unwilling to disclose technical information</li> <li>➤ Stakeholders’ needs not properly addressed</li> <li>➤ Underestimation of the complexity of some tasks.</li> </ul>
<p><b>Output 1.6: Database with readily accessible international information useful for developing and updating National Implementation Plans (NIPs) under the Stockholm Convention in place</b></p>			
<p><b>A.1.6.1:</b> Compile a list of available technology for recycling and disposal including contact details of entities that can undertake such operations and indicative cost</p> <p><b>A.1.6.2:</b> Compile a list of options for control measures to eliminate/restrict production and use of new POPs</p> <p><b>A.1.6.3:</b> Compile a list of replacement to new POPs including alternative chemicals and processes</p> <p><b>A.1.6.4:</b> Develop a ver.1 of the database and integrate the lists, create cross-links with websites of regional centers, industry sectors, civil societies, implementing agencies, etc.</p>	<ul style="list-style-type: none"> <li>➤ List of available technology and vendors for recycling and disposal</li> <li>➤ List of options for control measures to eliminate / restrict production and use of new POPs</li> <li>➤ List of replacement to new POPs including alternative chemicals and processes prepared in due time</li> <li>➤ Ver.1 of a database and websites with cross-links prepared</li> </ul>	<ul style="list-style-type: none"> <li>➤ Report on available technology for recycling and disposal including contact details of entities that can undertake such operations and indicative cost</li> <li>➤ Report on options for control measures to eliminate/restrict production and use of new POPs</li> <li>➤ Report on replacement to new POPs including alternative chemicals and processes</li> <li>➤ Copy of Ver.1 of a database and websites with cross-links</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ The agencies can rely on their outstanding experience in the field of recycling / disposal of hazardous substances</li> <li>➤ The network established by the agencies with industrial and scientific community will facilitate the collection of technical information</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Industry / Scientific community unwilling to share technical information</li> <li>➤ Stakeholders’ needs not properly addressed</li> </ul>

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Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<b>Output 1.7: Updated and consolidated package of “Guidance for developing and updating a National Implementation Plan (NIP) under the Stockholm Convention” taking into account the new POPs added to the Convention prepared</b>			
<p><b>A.1.7.1:</b> Revise the guidance ver.1 (outputs of 2.1-2.5) based on the evaluation and feedback received through the activities under Project Component 3 to develop ver. 2 of the guidance in English.</p> <p><b>A.1.7.2:</b> Update the existing guides concerning the development review and updating of the National Implementation plan, including the guidance on Social and Economic Assessment and on the calculation of action plan costs, with the information and guidance concerning the 9 new POPs</p> <p><b>A.1.7.3:</b> Integrate the ver.2 of the guidance and other existing guidance for NIP development, to produce the updated and consolidated “Guidance for developing</p> <p><b>A.1.7.4:</b> Translate updated and consolidated “Guidance for developing and updating a National Implementation Plans (NIP)” into other five UN languages (completion in Arabic, Chinese, English, French, Spanish, and Russian)</p> <p><b>A.1.7.5:</b> Publication in hard copies and electronic format available online</p>	<ul style="list-style-type: none"> <li>➤ Ver.2 of the guidance in English: listed in A) under this table prepared</li> <li>➤ Publications in hard copies and electronic format available online</li> <li>➤ Translation of updated and consolidated “Guidance for developing and updating a National Implementation Plans (NIP)” under the Stockholm in Arabic, Chinese, French, Spanish, and Russian</li> </ul>	<ul style="list-style-type: none"> <li>➤ Copy of Ver.2 of the guidance in English: listed in A) under this table</li> <li>➤ Copy of publications in hard copies and electronic format</li> <li>➤ Copy of updated and consolidated “Guidance for developing and updating a National Implementation Plans (NIP)” under the Stockholm translated in Arabic, Chinese, French, Spanish, and Russian</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Extensive revision of the guidance would not be necessary due to the preparatory work done in the previous activities</li> <li>➤ The guidance will be successfully prepared and translated in the assigned timeframe</li> <li>➤ The expertise gained in other POPs related activities will ensure the proper identification of the stakeholders’ needs</li> <li>➤ The revision of the existing guidance will be performed with high quality and in due time as are the same agencies in charge of the drafting of the original version that will update them.</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Reduced time frame could lead to an inaccurate revision of the guidance</li> </ul>

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<b>Outcome 2: Strengthening of capacity and validation on the guidance for developing and updating a National Implementation Plan under the Stockholm Convention focusing on new POPs chemicals</b>			
<b>Output 2.1: Approach for capacity strengthening to implement the updated and consolidated guidance for developing a National Implementation Plan under the Stockholm Convention taking into account the new POPs added to the Convention established</b>			
<p><b>A.2.1.1:</b> Gap analysis of existing capacity in establishing inventory/conducting regular monitoring through Stockholm Convention Regional Centres</p> <p><b>A.2.1.2:</b> Develop training and awareness materials/programmes in cooperation with Stockholm Convention Regional Centres to implement the updated guidance for developing a NIP</p> <p><b>A.2.1.3:</b> Conduct pilot training/awareness activities for developing countries, focusing on customs and other relevant stakeholder, through Stockholm Convention Regional Centres to receive feedback on the updated and consolidated guidance for developing a NIP and the approach for capacity strengthening for implementation and evaluate the applicability</p>	<ul style="list-style-type: none"> <li>➤ Gaps on existing capacity in establishing inventory/conducting regular monitoring through Stockholm Convention Regional Centres identified</li> <li>➤ Training package including instructional book, training programme, presentation slides prepared</li> <li>➤ Number of participants; number of relevant institutions represented in the training courses</li> </ul>	<ul style="list-style-type: none"> <li>➤ A document summarizing the gaps of existing capacity in establishing inventory/conducting regular monitoring through Stockholm Convention Regional Centres</li> <li>➤ A training package including instructional book, training programme, presentation slides</li> <li>➤ Training reports, minute and feedbacks</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Regional POP Centers committed to collaborate and capable to perform the assigned tasks</li> <li>➤ The participation of Regional Centres will facilitate stakeholder involvement</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ The selected Regional Centres would lack of commitment or of human resources</li> <li>➤ Key experts who attended the “train the trainers” workshop leave the organization or are no more available for the assignment</li> <li>➤ Unexpected events / political instability in the selected countries may disrupt the project activities</li> </ul>
<b>Output 2.2: Feedback and lessons learned from pilot testing of the guidance ver.1 in three countries from different regions consolidated</b>			
<p><b>A.2.2.1:</b> Develop terms of reference for pilot testing of the guidance ver.1 and select three countries to undertake the pilot testing (one country before COP5 and two countries after COP5)</p> <p><b>A.2.2.2:</b> Elaborate pilot inventory of products/articles containing new POPs and processes using new POPs in three pilot countries</p>	<ul style="list-style-type: none"> <li>➤ Selection criteria for pilot testing of the ver. 1 of the guidance document established</li> <li>➤ Terms of reference for pilot testing of the guidance ver.1 prepared</li> <li>➤ MOU with 3 countries selected for pilot testing initiated</li> </ul>	<ul style="list-style-type: none"> <li>➤ Final Terms of reference for pilot testing of the guidance ver.1</li> <li>➤ Signed MOU with 3 countries selected for the pilot testing</li> <li>➤ Report on pilot inventory of products/articles containing new POPs and processes using new POPs in three pilot countries</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Regional Centres will facilitate and speed up the gathering of data needed for the inventory</li> <li>➤ By means of participation of the Regional Centres and thanks to the network and experience already established by the Agencies in the 3 pilot countries, the pilot inventories will be successfully completed</li> </ul>

<b>Interventions</b>	<b>Objectively verifiable indicators</b>	<b>Sources of verifications</b>	<b>Assumptions and risks</b>

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<p><b>A.2.2.3:</b> Validation of the applicability of the guidance ver.1 and collection of feedback for revision to produce ver.2</p>	<ul style="list-style-type: none"> <li>➤ Consolidated list of pilot inventory of products / articles containing new POPs and processes using new POPs in three pilot countries prepared</li> <li>➤ Validation of the updated and consolidated guidance for developing and updating a NIP and the approach for capacity strengthening for implementation</li> </ul>	<ul style="list-style-type: none"> <li>➤ Validation and feedback on the updated and consolidated guidance for developing and updating a NIP and the approach for capacity strengthening for implementation</li> </ul>	<p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ The selected Regional Centres would lack of commitment or of human resources</li> <li>➤ Key experts leave the organization or are no more available for the assignment</li> <li>➤ Unexpected events / political instability in the selected countries may disrupt the project activities</li> </ul>
<p><b>Outcome 3: Establishment of project management structure including monitoring and evaluation</b></p>			
<p><b>Output 3.1: Project management structure established</b></p>			
<p><b>A.3.1.1</b> Establish the Project Steering Committee  <b>A.3.1.2</b> Recruit technical experts as appropriate  <b>A.3.1.3</b> Establish expert working groups as appropriate</p>	<ul style="list-style-type: none"> <li>➤ PSC established including list of members</li> <li>➤ TORs and contracts of technical experts and working groups prepared</li> </ul>	<ul style="list-style-type: none"> <li>➤ Copy of documentation related to the formal establishment of the PSC and working group</li> <li>➤ Copy of TORs and contracts for technical expert</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Experienced managers will be nominated in the PSC</li> <li>➤ Technical expert of proven experience in evaluation activity will be recruited</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ Key experts or managers not available for the task</li> <li>➤ Key expert or managers leave the organizations before completing the activities</li> </ul>
<p><b>Output 3.2: An M&amp;E mechanism according to GEF M&amp;E procedures designed and implemented</b></p>			
<p><b>A.3.2.1:</b> Measure impact indicators on an annual basis  <b>A.3.2.2:</b> Prepare Annual Project Reports and Project Implementation Reviews  <b>A.3.2.3:</b> Hold annual Project Steering Committee meetings</p>	<ul style="list-style-type: none"> <li>➤ Updated impact indicators</li> <li>➤ Annual reports and PIRs completed</li> <li>➤ Annual PSC meetings held</li> </ul>	<ul style="list-style-type: none"> <li>➤ Monitoring reports</li> <li>➤ Progress Reports</li> <li>➤ Copy of Audit Reports</li> </ul>	<p><u>Assumptions</u></p> <ul style="list-style-type: none"> <li>➤ Based on the feedback of the M&amp;E measurements, adaptive management measures to be taken all through the project implementation process.</li> </ul>

Interventions	Objectively verifiable indicators	Sources of verifications	Assumptions and risks
<p><b>A.3.2.4:</b> Carry out mid-term external evaluation</p> <p><b>A.3.2.5:</b> Carry out final external evaluation</p> <p><b>A.3.2.6:</b> Complete the Terminal Report</p> <p><b>A.3.2.7:</b> Carry out annual project financial audits</p> <p><b>A.3.2.8:</b> Establish a project management information system (MIS), including a project website to disseminate information to various stakeholders</p>	<ul style="list-style-type: none"> <li>➤ Audit reports result prepared in due time</li> <li>➤ Mid-term evaluation completed</li> <li>➤ Final evaluation held</li> <li>➤ Project terminal report completed</li> <li>➤ Financial audit completed</li> <li>➤ Dedicated MIS established and information disseminated</li> </ul>	<ul style="list-style-type: none"> <li>➤ Copies of Annual reports and PIRs</li> <li>➤ PSC meeting proceedings</li> <li>➤ Copy of mid-term evaluation report</li> <li>➤ Copy of final external evaluation report</li> <li>➤ Copy of project terminal report</li> </ul>	<ul style="list-style-type: none"> <li>➤ Project team should ensure that sufficient time and resources are available for better implementation of the M&amp;E policy.</li> </ul> <p><u>Risks</u></p> <ul style="list-style-type: none"> <li>➤ M&amp;E mechanisms will not be fully followed, which jeopardises project implementation.</li> </ul>

**ANNEX B: RESPONSES TO PROJECT REVIEWS** (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).



**GEF SECRETARIAT REVIEW FOR FULL/MEDIUM-SIZED PROJECTS<sup>6</sup>  
THE GEF/LDCF/SCCF TRUST FUNDS**

GEF ID:	<b>4410</b>		
Country/Region:	<b>Global</b>		
Project Title:	<b>Development of the Guidelines for updating of National Implementation Plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention</b>		
GEF Agency:	<b>UNIDO</b>	GEF Agency Project ID:	
Type of Trust Fund:	<b>GEF Trust Fund</b>	GEF Focal Area(s):	<b>POPs</b>
GEF-5 Focal Area/LDCF/SCCF Objective(s):	<b>CHEM-4; Others</b>		
Anticipated Financing PPG:	<b>\$0</b>	Project Grant:	<b>\$1,000,000</b>
Co-financing:	<b>\$1,201,990</b>	Total Project Cost:	<b>\$2,201,990</b>
PIF Approval:		Council Approval/Expected:	
CEO Endorsement/Approval		Expected Project Start Date:	
Program Manager:	<b>Ibrahima Sow</b>	Agency Contact Person:	<b>Mr. M. Eisa</b>

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>7</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
Eligibility	1. Is the participating country eligible?		This is a global project. Developing countries and countries with economies in transition that have completed and submitted NIPs and that are parties to the Convention and its amendments will be eligible for funding.	
	2. If there is a non-grant instrument in the project, is the GEF Agency capable of managing it?		Endorsement from countries is not requested.	

<sup>6</sup> Some questions here are to be answered only at PIF or CEO endorsement. Please do not answer if the field is blocked with gray.

<sup>7</sup> Work Program Inclusion (WPI) applies to FSPs only. Submission of PIF of FSPs will simultaneously be considered for WPI. For MSPs, once the PIF is approved by CEO, next step will be to continue project preparation until the project is ready for CEO approval. This column is for use to provide comments on the review of PFDs.



Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	3. Has the operational focal point endorsed the project?			
Agency's Comparative Advantage	4. Is the Agency's comparative advantage for this project clearly described and supported?		Yes. UNIDO has coordinated a large number of NIPs. Plus, most of the new POPs are industrial products or are released through industrial processes.	
	5. Is the co-financing amount that the Agency is bringing to the project in line with its role?		UNIDO will contribute US\$ 95,000 to this project	
	6. Does the project fit into the Agency's programme and staff capacity in the country?		Yes. See para 4 (Agency's comparative advantage).	
Resource Availability	7. Is the proposed GEF/LDCF/SCCF Grant (including the Agency fee) within the resources available from (mark all that apply):			
	• the STAR allocation?		N/A	
	• the focal area allocation?		Yes	
	• the LDCF under the principle of equitable access?			
• the SCCF (Adaptation or Technology Transfer)?				
Project Consistency	8. Is the project aligned with the focal area/multifocal area / LDCF/SCCF results framework?			
	9. Are the relevant GEF 5 focal area/LDCF/SCCF objectives identified?			
	10. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions, including NPFE, NAPA and NCSA?		Yes. The preparation or updating of NIP is a requirement under the Stockholm Convention. Following the amendment of the Stockholm Convention to add nine new POPs, countries will have to review and update their national implementation plans and transmit the NIPs to the COP, two years following the entry into force of the amendment (August 2012).	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	11. Does the proposal clearly articulate how the capacities developed will contribute to the institutional sustainability of project outcomes?		Yes, in particular with the development and implementation of action plans for reduction and phase out activities of the new POPs.	
	12. Is (are) the baseline project(s) sufficiently described and based sound data and assumptions?		Yes. See para 10	
	13. Is (are) the problem(s) that the baseline project(s) seek/s to address sufficiently described and based on sound data and assumptions?		Yes, the characteristics of the nine new POPs that will be assessed under the process of the NIP update have been clearly described on the basis of POPRC's evaluation.	
<b>Project Design</b>	14. Is the project framework sound and sufficiently clear?		<p>This project should focus on the development of specific guidelines for reviewing and updating the NIPs, related to the new POPs, in particular on the development of guidance for establishing inventory of products / articles containing new POPs and industrial processes using new POPs.</p> <p>I do not see the pertinence of developing screening and analysis methods of products containing new POPs (This activity will be undertaken under the UNEP project on "Establishing the tools and methods to include the nine new POPs into the GMP"). For assessing the new POPs, the information already compiled by the POPRC should suffice. Based on that, UNIDO is requested to revise the project log frame and streamline project activities by removing this project component. Consequently, the component 3 (capacity building and validation of the guidance) should be revised to reflect this change.</p> <p>The related budgets for component 1 (\$US 130,000) and part 1 of</p>	<p>Jan 2011</p> <p>The project logframe, project activities and project budget have been revised accordingly.</p>

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
			component 3 (\$US 96,000) will be removed from the total GEF \$. The GEF project budget should not be more than \$ US 719,000.	
	15. Are the incremental (in the case of GEF TF) or additional (in the case of LDCF/SCCF) activities complementary and appropriate to further address the identified problem?		NA	
	16. Are the applied methodology and assumptions for the description of the global environmental benefits/adaptation benefits sound and appropriate?		NA	
	17. Has the cost-effectiveness sufficiently been demonstrated, including the cost-effectiveness of the project design approach as compared to alternative approaches to achieve similar benefits?		Yes. Guidelines developed as a result of this project could be used by all countries reviewing and updating their NIPs.	
	18. Is there a clear description of the socio-economic benefits to be delivered by the project and of how they will support the achievement of environmental/adaptation benefits (for SCCF/LDCF)?		Yes	
	19. Is the role of civil society, including indigenous people and gender issues being taken into consideration and addressed appropriately?		The project will ensure a wider participation approach including civil society and local communities and special gender interest groups.	
	20. Does the project take into account potential major risks, including the consequences of climate change and provides sufficient risk mitigation measures? (i.e. climate resilience)		Yes. Well addressed	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	21. Is the provided documentation consistent?		Yes	
	22. Are key stakeholders (government, local authorities, private sector, CSOs, communities) and their respective roles and involvement in the project identified?		Yes see para 19	
	23. Is the project consistent and properly coordinated with other related initiatives in the country or in the region?		Yes	
	24. Is the project implementation / execution arrangement adequate?		Yes. The project implementation arrangement appears appropriate.	
	25. Is the project structure sufficiently close to what was presented at PIF, with clear justifications for changes?		No PIF prepared	
	26. If there is a non-grant instrument in the project, is there a reasonable calendar of reflows included?			
<b>Project Financing</b>	27. Is the GEF/LDCF/SCCF funding level for project management cost appropriate?			
	28. Is the GEF/LDCF/SCCF funding per objective appropriate to achieve the expected outcomes and outputs according to the incremental / additional cost reasoning principle?			
	29. Comment on indicated cofinancing at PIF. At CEO endorsement, indicate if cofinancing is confirmed.		Cofinancing confirmed by letter from the Stockholm Convention Executive Secretary	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	30. Is the budget (GEF/LDCF/SCCF funding and co-financing) per objective adequate to achieve the expected outcomes and outputs?		See comment under para 14 (Project framework) The sub-budgets related to component 1 (US\$ 130,000) and part 1 of component 3 (US\$ 96,000) will be removed from the total GEF \$. The GEF project budget should not be more than US\$ 719,000.	The project budget has been revised as suggested.
Project Monitoring and Evaluation	31. Has the Tracking Tool <sup>8</sup> been included with information for all relevant indicators, as applicable?			
	32. Does the proposal include a budgeted M&E Plan that monitors and measures results with indicators and targets?		Yes. M&E plan is adequate	
Agency Responses	33. Has the Agency responded adequately to comments from:			
	- STAP?	None received		
	- Convention Secretariat?		None received	
	- Council comments?			
- Other GEF Agencies?	None received			
<b>Secretariat Recommendation</b>				
Recommendation at PIF Stage	<b>34. Is PIF/PFD clearance being recommended?</b>			
	35. Items to consider at CEO endorsement/approval.			
Recommendation at CEO Endorsement / Approval	<b>36. Is CEO endorsement / approval being recommended?</b>		Pending submission of a revised proposal addressing comments raised in this review, in particular on the need to re-adjust the project activities and budget and focus on activities strictly needed for this process. The total GEF budget should not be more US\$ 719,000.	

<sup>8</sup> At present, Tracking Tools apply to Biodiversity projects only. Tracking Tools for other focal areas are currently being developed.  
GEF5 CEO Endorsement-Approval

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
Review Date	First review*			
	Additional review (as necessary)			
	Additional review (as necessary)			

\* This is the first and second times the Program Managers provided full comments for the project. For specific comments for each section, please insert a date after comments.

#### REQUEST FOR PPG APPROVAL

Review Criteria	Decision Points	Program Manager Comments
PPG Budget	1. Are the proposed activities for project preparation appropriate?	
	2. Is itemized budget justified?	
Secretariat Recommendation	3. <b>Is PPG approval being recommended?</b>	
	4. Other comments	
Review Date (s)	1 <sup>st</sup> review*	
	Additional review (as necessary)	

\* This is the first time the Program Managers provides full comments for the project. Sub-sequent follow up reviews should be recorded. For specific comments for each section, please insert a date after comments.

**ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF/LDCF/SCCF RESOURCES**

<i>Position Titles</i>	<i>\$/ Person Week*</i>	<i>Estimated Person Weeks**</i>	<i>Tasks To Be Performed</i>
<b>For Project Management</b>			
Local			
International			
International experts	3,462	12	
Justification for travel, if any:			
<b>For Technical Assistance</b>			
Local			
International			
Principal expert	3,462	21.5	
3 Technical experts	3,462	42.6	
Other experts needed	3,462	37.9	
Justification for travel, if any:			

\* Provide dollar rate per person week. \*\* Total person weeks needed to carry out the tasks.

**ANNEX D: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS**

A. EXPLAIN IF THE PPG OBJECTIVE HAS BEEN ACHIEVED THROUGH THE PPG ACTIVITIES UNDERTAKEN.

NO PPG REQUESTED

B. DESCRIBE FINDINGS THAT MIGHT AFFECT THE PROJECT DESIGN OR ANY CONCERNS ON PROJECT IMPLEMENTATION, IF ANY:

C. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES AND THEIR IMPLEMENTATION STATUS IN THE TABLE BELOW:

<i>Project Preparation Activities Approved</i>	<i>Implementation Status</i>	<i>GEF/LDCF/SCCF Amount (\$)</i>				<i>Cofinancing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
	(Select)					
<b>Total</b>		0	0	0	0	0

\* Any uncommitted amounts should be returned to the GEF Trust Fund. This is not a physical transfer of money, but achieved through reporting and netting out from disbursement request to Trustee. Please indicate expected date of refund transaction to Trustee.