



# REQUEST FOR CEO ENDORSEMENT/APPROVAL

PROJECT TYPE: Full-sized Project

THE GEF TRUST FUND

Submission Date: 28 September 2010

Resubmission Date: 10 January 2011

## PART I: PROJECT INFORMATION

GEFSEC PROJECT ID: 3942

GEF AGENCY PROJECT ID: XX/RAF/09/X13

COUNTRY(IES): Regional Africa: Angola, Lesotho, Mozambique, Swaziland and Tanzania

PROJECT TITLE: Capacity strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Subregion

GEF AGENCY(IES): UNIDO, UNEP

OTHER EXECUTING PARTNER(S): Institutions responsible for Environment in the LDCs/SADC member states

GEF FOCAL AREA(S): Persistent Organic Pollutants

GEF-4 STRATEGIC PROGRAM(S): POPs SP1 (see preparation guidelines section on exactly what to write)

NAME OF PARENT PROGRAM/UMBRELLA PROJECT: Capacity strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) and Small Islands Developing States (SIDS)

Expected Calendar (mm/dd/yy)	
Milestones	Dates
Work Program (for FSPs only)	June 2009
Agency Approval date	February 2011
Implementation Start	March 2011
Mid-term Evaluation (if planned)	September 2013
Project Closing Date	March 2016

### A. PROJECT FRAMEWORK (Expand table as necessary)

**Project Objective:** The overall objective of the proposed project is to reduce POPs emissions through strengthening and/or building capacity required in LDCs of the SADC Sub-region to implement their NIPs in a sustainable, effective and comprehensive manner while building upon and contributing to strengthening the country's capacities for sound management of POPs chemicals.

The immediate objective is to create an enabling environment to implement the NIPs in the LDCs of the SADC sub-region by establishing/amending laws, regulations, policies, standards; strengthening institutions for remediation of contaminated sites; introducing BAT/BEP to industrial processes; managing municipal wastes including e-wastes, health-care wastes; supporting the phasing out of agricultural use of POP pesticides through the promotion of production and use of bio-botanical pesticides; promoting technology transfer; facilitating data and information collection and dissemination; and ensuring continuous improvement and awareness raising of stakeholders on POPs issues.

Project Components	Indicate whether Investment, TA, or STA <sup>2</sup>	Expected Outcomes	Expected Outputs	GEF Financing <sup>1</sup>		Co-Financing <sup>1</sup>		Total (\$) c=a+ b
				(\$ a)	%	(\$ b)	%	
1. BAT/BEP in industrial production processes	TA	Introduction of BAT/BEP in industrial production processes mentioned in Annex C of Article 5 of the Convention	1.1 SADC Sub-regional BAT/BEP Forum established 1.2 Human resources for BAT/BEP developed, technical knowledge shared in SMEs and informal sector 1.3 BAT/BEP in textile and leather dyeing and finishing and waste oil refinery source categories initiated	711,600	66	367,000	34	1,078,600
2. Reduction on exposure to POPs	TA	Reduction to POPs exposure at workplace and	2.1 Concept on Cleaner Solid Municipal Waste Management system	289,300	47	320,000	53	609,300

		close proximity to POPs wastes and UP-POPs emitting sources	introduced to the national plans of waste management system in the participating countries 2.2 Bio-botanical pesticides produced and formulated in agriculture including market gardening in urban areas through existing South-South cooperation programmes and with participation of an association of market gardeners 2.3 Strategy developed to audit, formalized and scale-up to macro and small enterprises informal management practices of PCBs, solid and liquid waste, plastic wastes and used paper and e-waste					
3. Contaminated sites	TA	Identification and assessment of contaminated sites	3.1 Sites identification strategies, protocols and guidelines formulated and applied in the sub-region based on the UNIDO toolkit 3.2 Capacity to manage the contaminated sites strengthened	349,100	29	841,864	71	1,190,964
4. Project management and monitoring and evaluation				150,000	33	302,000	67	452,000
<b>Total Project Costs</b>				<b>1,500,000</b>		<b>1,830,864</b>		<b>3,330,864</b>

<sup>1</sup> List the \$ by project components. The percentage is the share of GEF and Co-financing respectively of the total amount for the component.

<sup>2</sup> TA = Technical Assistance; STA = Scientific & Technical Analysis.

**B. SOURCES OF CONFIRMED CO-FINANCING FOR THE PROJECT** (expand the table line items as necessary)

<i>Name of Co-financier (source)</i>	<i>Classification</i>	<i>Type</i>	<i>Project</i>	<i>%*</i>
Project Governments contributions	Nat'l Gov't	In-kind	400,000	22%
		cash	200,000	11%
GEF Agency (ies): UNIDO	Impl. Agency	in-kind	700,000	38%
Others (SCS, SAICM)	Multi. Agency	In-kind	510,864	28%
African Union Commission		Cash	20,000	1%
<b>Total Co-financing</b>			<b>1,830,864</b>	<b>100%</b>

\* Percentage of each co-financier's contribution at CEO endorsement to total co-financing.

**C. FINANCING PLAN SUMMARY FOR THE PROJECT (\$)**

	<i>Project Preparation a</i>	<i>Project b</i>	<i>Total c = a + b</i>	<i>Agency Fee</i>	<i>For comparison: GEF and Co- financing at PIF</i>
GEF financing		1,500,000	1,500,000	150,000	2,850,000
Co-financing		1,830,864	1,830,864		2,800,000
<b>Total</b>		<b>3,330,864</b>	<b>3,330,864</b>	<b>150,000</b>	<b>5,650,000</b>

**D. GEF RESOURCES REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)<sup>1</sup>**

<i>GEF Agency</i>	<i>Focal Area</i>	<i>Country Name/ Global</i>	<i>(in \$)</i>		
			<i>Project (a)</i>	<i>Agency Fee (b)<sup>2</sup></i>	<i>Total c=a+b</i>
UNIDO	Persistent Orgar	Regional	1,500,000	150,000	1,650,000
(select)	(select)				
(select)	(select)				
<b>Total GEF Resources</b>			<b>1,500,000</b>	<b>150,000</b>	<b>1,650,000</b>

<sup>1</sup> No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.

<sup>2</sup> Relates to the project and any previous project preparation funding that have been provided and for which no Agency fee has been requested from Trustee.

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

<i>Component</i>	<i>Estimated person weeks</i>	<i>GEF amount (\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local consultants*	430.0	200,000	250,000	<b>450,000</b>
International consultants*	90.3	168,000	200,000	<b>368,000</b>
<b>Total</b>		<b>368,000</b>	<b>450,000</b>	<b>818,000</b>

\* Details to be provided in Annex C.

**F. PROJECT MANAGEMENT BUDGET/COST**

<i>Cost Items</i>	<i>Total Estimated person weeks/months</i>	<i>GEF amount (\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local consultants*	34.4	16,000	56,500	<b>72,500</b>
International consultants*	6.9	12,800		<b>12,800</b>
Office facilities, equipment, vehicles and communications*		20,000	27,000	<b>47,000</b>
Travel*		14,000	32,000	<b>46,000</b>
Others** (Workshops, printing, M&E)		87,200	186,500	<b>273,700</b>
<b>Total</b>	<b>41.3</b>	<b>150,000</b>	<b>302,000</b>	<b>452,000</b>

\* Details to be provided in Annex C. \*\* For others, it has to clearly specify what type of expenses here in a footnote.

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

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

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

- Monitoring of project implementation is a major responsibility of the Project Management Office (PMO). The data for determining the value of indicators will come from the main project implementation data base and the Management Information System (MIS) to be developed by the project. The PMO will be responsible for data collection and inputs to the MIS while the Technical Coordination Group (TCG) will be responsible for reviewing implementation process. In addition<sup>3</sup>

to Sub-regional Steering Committee (SRSC) meetings, annual meetings will be held with key stakeholders to review effective use of the GEF Grant and counterpart funding.

2. Mid-term review will be also organized after two years project implementation to review status of implementation and discuss potential improvement in project design. The project completion review also provides stakeholders a chance to review results achieved by the project and identify means improvement in the project management. The types of M&E activities, responsible parties, the budget requirements and timeframe to implement these activities are indicated in the table below.

Type of M&E activity	Responsible Parties	Budget US\$ (Excluding project team staff time)	Time frame
Hold the project Inception Workshop	PMO, UNIDO, stakeholders	10,000	Within 3 months after GEF CEO approval
Prepare Inception regional Report	PMO, UNIDO	4,000	Within 6 months after the IW
Measure the impact indicators on yearly basis	Independent Consultant	30,000	Annually
Prepare Annual Project Reports and Project Implementation Reviews	NPC, PMO, UNIDO	2,000	Annually
Hold annual Sub Regional meetings	PMO, UNIDO, SRSC	7,000	Annually, upon receipt of APR and PIR
Hold annual Tripartite Review meetings	GEF, UNIDO, PMO, SRSC, UNEP	5,000	Annually
Carry out mid-term external evaluation	UNIDO	12,000	At the mid-point of the project implementation
Produce annual project financial audits	UNIDO	4,000	Annually
Selected annual field sites	Consultants, NPC, UNIDO	10,000	Annually
Establish a project management information system (MIS), including a project website to disseminate information to stakeholders	PMO, UNIDO	2,000	Throughout the project implementation
Perform final external evaluation	External Auditor	12,000	Within 12 months after the completion of the project implementation
Complete the Project Terminal Report	PMO, UNIDO, NPC	2,000	
<b>Total</b>		<b>100,000</b>	

**Monitoring and evaluation will be carried out at each of the following project phases and milestones:**

***Project Inception phase***

3. A Project Inception Workshop (IW) will be conducted with the full project team, relevant government counterparts, co-financing partners, UNIDO and representative from the UNIDO Regional Office, as appropriate.
4. The fundamental objective of this IW will be to assist the project team in understanding and assimilating the goals and objectives of the project, as well as to finalize the preparation of the project's first annual work plan on the basis of the project's logical framework matrix. This work will include reviewing the logical framework (indicators, means of

verification, assumptions), imparting additional detail as needed, and completing an Annual Work Plan (AWP) for the first year of project implementation, including measurable performance indicators.

5. Additionally, the IW will: (i) introduce project staff to the UNIDO team, which will support the project during its implementation; (ii) delineate the roles, support services, and complementary responsibilities of UNIDO staff vis-à-vis the project team; (iii) provide a detailed overview of UNIDO reporting and Monitoring & Evaluation (M&E) requirements, with particular emphasis on Annual Project Implementation Reviews (PIRs), the Annual Project Report (APR), Tripartite Review (TPR) meetings, as well as mid-term and final evaluations. Equally, the IW will provide an opportunity to inform the project team on UNIDO project related budgetary planning, budget reviews and mandatory budget rephrasing.
6. The IW will also provide an opportunity for all parties to understand their roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines and conflict resolution mechanisms. The Terms of Reference (TOR) for project staff and decision-making structures will be discussed, as needed, in order to clarify each party's responsibilities during the project's implementation phase.

#### ***Monitoring responsibilities and events***

7. A detailed schedule of project review meetings will be developed by the project management team in consultation with the project implementation partners and stakeholder representatives and incorporated in the Project Inception Report. The schedule will include: (i) tentative time frames for Tripartite Reviews, SRSC meetings, and (ii) project related M&E activities.
8. Day to day monitoring of project implementation progress will be the responsibility of the National Project Coordinator (NPC) based on the project's Annual Work Plan and its indicators. The NPC will inform UNIDO on any delays or difficulties faced during implementation so that appropriate support or corrective measures can be adopted in a timely and remedial fashion.
9. The NPC and the Regional Coordinator (RC) will fine-tune the progress and performance/impact indicators for the project in consultation with the project experts team (PET) at the Inception Workshop. Specific targets for the first year implementation progress indicators together with their means of verification will be developed in this workshop. These will be used to assess whether implementation is proceeding at the intended pace and in the right direction and will form part of the Annual Work Plan. Targets and indicators for subsequent years will be reviewed annually as part of the internal evaluation and planning processes undertaken by the PMO.
10. SMART indicators for impacts and results related to global environmental benefits are identified with baseline and target at Year 4. All these impact indicators will be monitored annually at specific locations with effective means of verification. These will be undertaken through an independent consultant's s or retainers with relevant institutions or through specific studies that are to form part of the projects activities. Indicators of project goal, progress and performance will be continuously monitored and evaluated throughout the whole project life.
11. Measurement of impact indicators related to global benefits will be done according to the schedules defined in the IW. The measurement of these will be undertaken through subcontracts or retainers with relevant institutions, or through specific studies that are to form part of the projects activities. Indicators of project goal, progress and performance will be continuously monitored and evaluated throughout the whole project life. Impact indicators to be measured include but not limited to:
  - Number of institutions adopting BEP and/or cleaner production measures
  - Number of facilities adopting BAT
  - Quantitative and qualitative change in the process management targeted to the decrease of UP-POPs emissions
  - Quantitative reduction of UP-POPs emissions
  - Level of the stakeholder awareness of and participation in adopting BAT/BEP
  - Status of the inventories
  - Social and economic benefits from adoption of BAT/BEP
12. Through quarterly meetings with project counterparts or as frequent as deemed necessary will undertake periodic monitoring of the project implementation progress. This will allow parties to troubleshoot any problems pertaining to the project in a timely fashion to ensure the smooth implementation of project activities.
13. Annual monitoring will occur through Tripartite Review (TPR) meetings, which will take place at least once every year. The

first such meeting will be held within twelve months of the start of the full project. The TPR has the authority to suspend funds disbursement if project performance benchmarks are not met.

### ***Terminal Tripartite Project Review***

14. The Terminal Tripartite Project Review (TTPR) meeting will be held in the last month of project operation. The project proponent is responsible in the preparation of the Terminal Report and its submission to UNIDO. It will be prepared in draft at least two months in advance of the TTPR in order to allow more time for its review. This will serve as the basis for discussions in the TTPR meeting. The TTPR considers the implementation of the project as a whole, paying particular attention to whether the project has achieved its stated objectives and contributed to the broader environmental objective. It decides whether any actions are still necessary, particularly in relation to sustainability of project results and acts as a means, which lessons learned can be captured for use in other projects under implementation or formulation.

### ***Project Monitoring Reporting***

15. The project team in conjunction with the UNIDO focal point will be responsible for the preparation and submission of the following reports that form part of the monitoring process. Items (a) through (f) are mandatory and are specifically related to monitoring, while items (g) through (h) have a broader function and the frequency and nature are to be defined throughout implementation.

(a) Inception Report

16. A Project Inception Report (IR) will be prepared immediately following the IW. It will include a detailed First Year AWP divided into quarterly timeframes, which detail the activities and progress indicators that will guide the implementation during the first year phase of the project. The Work Plan will include the dates of specific field visits, support missions from UNIDO and/or UNIDO consultants, as well as timeframes for meetings of the project's decision-making structures. The report will also include the detailed project budget for the first full year of implementation, prepared on the basis of the AWP, and including any monitoring and evaluation requirements to effectively measure project performance during the targeted 12 month timeframe.

17. When finalized, the report will be circulated to project counterparts, who will be given a period of one calendar month in which to respond with comments or queries. Prior to this circulation of the IR, UNIDO will review the document.

(b) Annual Project Report

18. The Annual Project Report (APR) is a UNIDO requirement and part of UNIDO central oversight, monitoring, and project management. It is a self-assessment report by project management to UNIDO, as well as a key input to the TPR. The APR will be prepared on an annual basis prior to the TPR to reflect the progress achieved in meeting the project's AWP and assess performance of the project in contributing to the intended outcomes through outputs and partnership work.

19. The format of the APR is flexible but should include the following:

- Analysis of project performance over the reporting period, including outputs produced and information on the status of the outcome;
- Constraints experienced in the progress towards results and the reasons for these;
- Expenditure reports;
- Lessons learned ;and
- Recommendations to address key problems in lack of progress, if applicable.

(c) Project Implementation Review

20. The Project Implementation Review (PIR) is an annual monitoring process mandated by the GEF. It is an essential management and monitoring tool for project managers and offers the main vehicle for extracting lessons from ongoing projects. Once the project will be under implementation for a year, the project team shall complete the PIR. The PIR can be prepared any time during the year (July-June) and ideally immediately prior to the TPR. The PIR should then be discussed at the TPR so that the result would be a PIR that has been agreed upon by project staff, the national executing agency and UNIDO. The GEF Tracking Tools will be available during the project implementation.

(d) Quarterly Progress Reports

21. Short reports outlining the main updates in project progress should be provided quarterly to UNIDO by the project team.

(e) Periodic Thematic Reports

22. As and when called for by UNIDO, the project team will prepare Specific Thematic Reports, focusing on specific issues or areas of activity. The request for a Thematic Report will be provided to the project team in written form by UNIDO and will

clearly state the issue or activities that need to be reported on. These reports will be used as a form of lessons learned exercise, specific oversight in key areas, or as troubleshooting exercises to evaluate and overcome obstacles and difficulties encountered.

(f) Project Terminal Report

23. During the last three months of the project, the project team will prepare the Project Terminal Report (PTR). This comprehensive report will summarize all activities, achievements and outputs of the project, lessons learned, objectives met (or not met), and structures and systems implemented. The PTR will be the definitive statement of the Project's activities during its lifetime. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's activities.
24. The PMO and the project's UNIDO focal point will develop criteria for participatory monitoring of the project activities. Appropriate participatory mechanism and methodology for performance monitoring and evaluation will be established at the very outset of the project. M&E activities will be based on the Logical Framework Matrix. The overall M&E format for the project will follow the instructions and guidelines of the GEF M&E unit and it will be laid out in detail at the Inception Workshop.
25. In accordance with the GEF requirements, Quarterly Progress Reports will also be provided to GEF during the course of the project. Simplified impact indicators with baselines, targets, means of verification, sampling frequency and location for selected indicators are given below. These indicators will form the basis for the project's M&E system.

**Selected indicators**

<b>Key Impact Indicator</b>	<b>Baseline</b>	<b>Target (at Year 4)</b>	<b>Means of Verification</b>	<b>Sampling frequency</b>
Number of new laws/regulations	0	3	Review Table 2 of Project Brief	End of each year
Number of new policies/guidelines/standards	0	3	Review Table 2 of Project Brief	End of each year
Convention compliance requirements mainstreamed into existing environmental protection instruments	As described in the NIP	5	Second national report on Convention implementation	Year 2010
No. of enterprises trained	0	12	Annual Project Report	Each year
No. of individuals being trained	0	20/ country	Annual Project Report	Each year
Functioning of coordination among the SADC Member States	Performance to be addressed	% by stakeholders as providing good opportunities for information and dialogue	Evaluation Report	Year 0, 2 and 4
Percentage of the population in high-risk POPs exposure areas aware of the need for protective action	Near 0	30%	Survey report on the percentage that is aware	Year 2 and 4
No. of reports on relevant financing tools	To be determined Year 1	To be determined Year 1	Annual Project Report	Each year
No. of workshops and consultations on relevant financing tools	To be determined Year 1	To be determined Year 1	Annual Project Report	Each year

26. In particular, project office will be responsible for the preparation and submission of the following reports:

Project Inception Workshop Report (PIWR)

27. The inception report will be prepared no later than three months after the project start-up.
28. The report will include a detailed Annual Work plan with clear indicators and corresponding means of verification for the first year of the project, fine tuning of Terms of Reference (ToRs) for project professionals, ToR for subcontract services, progress to date on project establishment and start up activities, amendments to project activities/approaches, if any. The report will be submitted to GEF.

Annual Project Report (APR) / Project Implementation Report (PIR)

29. APR/PIR in a prescribed format will be prepared and submitted annually by the project management as per guidelines set for the same. APR/PIR will inform the Tripartite Review (TPR) at the annual National Coordination Group meetings and should therefore be circulated to TPR/TCG participants well in advance. Final APR/PIR will be submitted to GEF as per standard procedures.
30. UNIDO will arrange an independent international terminal evaluation of the project according to M&E procedures established by the GEF.



**PART II: PROJECT JUSTIFICATION:** In addition to the following questions, please ensure that the project design incorporates key GEF operational principles, including sustainability of global environmental benefits, institutional continuity and replicability, keeping in mind that these principles will be monitored rigorously in the annual Project Implementation Review and other Review stages.

**A. STATE THE ISSUE, HOW THE PROJECT SEEKS TO ADDRESS IT, AND THE EXPECTED GLOBAL ENVIRONMENTAL BENEFITS TO BE DELIVERED:**

31. The Stockholm Convention on POPs has been adopted by many developing countries including the LDCs/SADC Member States. The aim of the Convention is to protect human health and the environment from the adverse effects of POPs. The Convention entered into force on 17 May 2004. Four Conferences of the Parties (COPs) have been convened to specify detailed requirements and procedures for implementing the Convention. The fourth and the recent COP was held in May 2009 adding nine (9) new POPs to the initial twelve (12) POPs thus, making the number of POPs under the Convention to be twenty one (21).
32. The LDCs in the SADC Sub-region have been active participants in the negotiations of the Stockholm Convention since 1998. These countries have participated in each of the COP meetings of the Convention and in other related Convention meetings, such as the meetings of the Expert Group on Best Available Techniques and Best Environmental Practices (BAT/BEP) and in the meetings of the POPs Review Committee (POPsRC).
33. The LDCs in the SADC Sub-region attach great importance to environmental protection while promoting economic growth. These countries have adopted an array of measures to strengthen environmental protection particularly in recent years. The countries have focused on preventive approaches and on comprehensive pollution control.
34. The slow economic development in the LDCs and poverty in the SADC Sub-region have led to serious environmental problems. The conflict between environmental protection and economic growth is becoming more prominent than ever. Resource shortages, fragile ecological environment and insufficient carrying capacity of the environment are becoming critical problems hindering sustainable development in the Sub- region. LDCs of the SADC Sub-region have expressed their needs to receive international technical assistance and cooperation to protect the environment. They are aware of the lack of capacity and resources that the countries have at their disposal to properly comply with the obligations set under the Stockholm Convention on Persistent Organic Pollutants (POPs).
35. Most LDCs in the SADC Sub-region have conducted preliminary inventories to better understand the status of POPs production, distribution, use, import, export, emissions, obsolete stockpiles, contaminated sites and POPs wastes. Industrial sectors with significant potential for PCDD/PCDF releases have also been identified, and a dioxins release inventory have been conducted based on the UNEP Toolkit. The NIPs of these countries have assessed the current institutional settings, policies and regulations and technologies for POPs treatment, disposal as well as substitutions and have also reviewed objectives, strategies and action plans to control, reduce and eliminate POPs. The plans have identified capacity building as one of the most fundamental activities that should be taken into consideration when implementing the NIPs.
36. During the preparation of the NIP, analysis on gaps between the Convention requirements and the present situation has been made. This gap analysis has shown that in order to meet Convention requirements, there is a need for strengthened capacity in a range of areas namely: building capacity through providing technical support ; institutional; legislation, regulation, implementation and enforcement capacities; research, development and dissemination of technical capability for alternative technologies; capacities in POPs stockpiles and wastes identification, management and disposal; capacities in identifying and remediating contaminated sites; capacities in information exchange, public information, awareness raising and education.
37. A number of barriers/threats that are expected to be encountered when implementing the SC at the SADC sub-region includes:
  - a. *Barriers towards introduction of BAT/BEP to the industrial processes:* mainstreaming of the BAT/BEP requirements in current technology application is very low. The capacity to introduce BAT/BEP is poor due to the poor linkages among researchers, entrepreneurs and government officials. Coordination and cooperation among stakeholders for R&D in introducing BAT/BEP principles into the industrial processes is weak and the practical impact of R&D is poor. Moreover, the capacity to transfer results from research domain to application domain is poor and there are always complaints that the researches are often done for academic interest and are of little practical use.
38. To address the barriers mentioned above, the project will design activities to enhance the communication mechanism among countries at the SADC Sub-region and the main funding sources, to formulate policies that supports application of research

results, to trace the progresses of R&D activities relevant to the reduction of dioxins and furans, to promote the communication among researchers and strengthen the linkages among research bodies, enterprises and the government.

b. Barriers to the reduction of the risk exposures to POPs-containing wastes: The LDCs in the SADC Sub-region are facing technical and economical inaccessibility to modern technologies for the management of municipal solid waste, PCBs solid and liquid waste as well as health-care waste. Likewise, smallholder farmers cannot afford to buy registered pesticides. Hence, current informal polluting practices in waste management in general associated with the non-application of sustainable agricultural pest management methods lead to high risk of exposure to POPs. Majority of the National Chemical Profiles and most of the NIPs have pointed out the infrastructure for R&D in the field of POPs, especially for developing alternative products and technologies to replace unintentionally produced POPs (UP-POPs) is also very weak. There is also lack of developed strategies for fund raising from the local private sector and external donors. The identification of the risk of exposures to POPs particularly at workplace, its assessment and continuous mitigation management are some of the challenges that the countries are facing due to shortage of qualified personnel.

39. To reduce the problem of technology transfer and socio-economic barriers, the project will carry out activities such as (i) production of bio-botanical pesticides at commercial scale; (ii) demonstration and promotion of an innovative and realistic technology for plastic waste management; (iii) support activities for prevention of dumping and open burning of used paper, e-waste and halogenated wastes streams; (iv) perform a show case for sound municipal solid waste management; (v) promotion of a sound health-care waste management option based on the lessons learnt from the GEF/UNDP project.

40. To reduce the research and development barrier the following research activities are planned to be undertaken through the project: (i) review of existing data on plants with pesticide properties in countries; (ii) promote ready-to-use bio botanical pesticides; (iii) test new bio-botanical pesticides for managing pests; (iv) investigate the informal collection system of PCBs, perform environmental audits and determine the need for enhancing collection and channeling of the PCBs streams on an ESM manner; (v) conduct a survey of existing plastic waste management; and (vi) perform inventory of paper, e-waste and other halogenated solid and liquid waste management options.

41. The feasibility of implementing environmentally sustainable and socially acceptable private-public partnership (PPP) to create MSEs (Micro- and Small Enterprises) based on innovative technologies to: (i) produce bio- botanical pesticides; (ii) recycle plastic bags; and (iii) recycle used paper and e-waste will be investigated.

42. Activities such as training on sound waste management strategies, integrated pest management with particular emphasis on the formulation and use of bio-botanical pesticides; pilot demonstration of waste recycling and pesticides formulation that are designed to increase knowledge and raise awareness among national technicians and other key stakeholders as well as minimize the risks of continuous exposure on POPs chemical will be undertaken.

c. Barriers/risks in remediating POPs contaminated sites such as: (1) Lack of appropriate policy and legislative framework; (2) inadequate awareness and ineffective coordination; (3) lack of financial resources to clean-up contaminated sites; (4) Government commitment due to lack of technical and financial capacity; (5) risk of establishing PPP; (6) Inadequate timeframe to complete and achieve the outlined tasks; (7) Problem of sustainability that ongoing POPs projects would face when dealing with problems of disposal of stockpiles while ignoring the related problem of clean-up of contaminated lands; (8) lack of comprehensive scientific/socio-economic data; (9) ineffective enforcement of regulations and legislation; and (10) absence of clear responsibilities and limited coordination.

43. The implementation of the proposed project through the financial support from the GEF and other donors will lay a solid foundation for the LDCs in the Sub-region to fully and smoothly fulfil their obligations under the Convention.

### **Domestic, regional and global benefits**

44. **Domestic benefits:** Enabling the SADC/LDCs to comply with the obligations on Parties set out in the Convention will have a significant and positive influence not only to the SADC Sub-region own chemicals management regime but also to the ultimate global success of the Convention to protect human health and the environment from the threat of POPs. While the proposed project mainly focus on capacity building it will not be able to directly reduce or eliminate any POPs, but will lay down the solid foundation in the SADC sub-region in fulfilling the commitments of the Convention. Countries will then cooperate to replicate the pilots and success cases developed by this project and use their own resources to measure the impact of their interventions and thereby record the reduction of POPs releases in a systematic and sustainable manner.

45. **Regional benefits:** With this project, the LDCs of the SADC Sub-region will be able to have the required capacities for implementing the Convention and the NIPs within the timeframe stipulated in the Convention. Improved regulatory

framework, legislation enforcement, monitoring, and public awareness from implementing the proposed project will yield significant domestic benefits, including:

- introduction of advanced concepts and management experience to harmonize local practices with international levels;
- promotion of technology transfer and application;
- upgrade the industrial structure;
- promotion of cleaner production; and
- protection of public health from POPs exposure.

46. **Global benefits:** With this project, the SADC/LDC Member States will be enabled to respond to the capacity building articles of the Convention effectively and efficiently. The regulatory framework and the institutional capacity of the SADC/LDCs Member States will be strengthened and will also upgrade Sub-region management of POPs to an internationally accepted level. The improved monitoring capacity will help to produce a more reliable and comparable inventory of POPs releases in the environment. The various mechanisms, platforms and partnerships to be established will lay a fundamental basis for effective and efficient reduction and elimination of POPs in the Sub region and generate significant benefits for the protection of the global environment and human health. Global benefits can be also achieved through dissemination of the Sub-regional experience, which could serve as a reference for other LDCs in the other part of Africa. It is expected that the waste prevention and recycling measures alone will reduce POPs emissions by at least 25% on the level mentioned in the NIPs.

#### **B. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH NATIONAL AND/OR REGIONAL PRIORITIES/PLANS:**

47. The proposed project is in line with the Action Plan of the Environment Initiative of the New Partnership for Africa's Development (NEPAD), June 2003. The objectives to be undertaken under the Programme Area of Health and Environment of the Action Plan aim to assist African countries to implement their commitments under chemical related conventions for which they are contracting Parties. Projects proposed include Environmentally Sound Management of Pesticides and other Toxic Chemicals and Environmentally Sound Management of Hazardous Waste.

48. Most African LDC countries have completed their NIPs. Following the Convention guidance, activities supported by the project will be in conformity with, and supportive of, the priorities identified in the countries' respective NIP development processes. Interventions will include:

- Strengthening legislative and regulatory frameworks;
- Strengthening of monitoring and enforcement capacity;
- Introduction of best available techniques and best environmental practices (BAT and BEP) in industrial production processes;
- Improving management of disposal and destruction of POPs wastes;
- Establishing integrated waste management systems;
- Developing strategies for identification and remediation of contaminated sites; and
- Raising awareness of, and engaging with, various non-governmental stakeholders including the private sector.

49. Project interventions will support the participating countries according to their specific needs and economic situation. On one hand, the existing administrative and enforcement framework for sound chemicals management in the participating LDCs needs support to fully comply with the obligations from the Stockholm Convention and other chemicals related conventions. On the other hand, there is no or few POPs production facilities in African LDCs, and the measures to reduce and eliminate the use of POPs and the emission reduction from UP-POPs can best be addressed by integrated chemicals and waste management, BAT and BEP strategies, and cleaner production approaches. Therefore, the financial support provided with the GEF resources for this project are targeting institutional strengthening, technical assistance and technology transfer.

#### **C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH GEF STRATEGIES AND STRATEGIC PROGRAMS:**

50. The project supports Strategic Program 1: "Strengthening capacities for NIP development and implementation" and Strategic Program 2: "Partnering in investments for NIP implementation" of the POPs Focal Area strategy in GEF-4. The project is exclusively focusing on LDCs knowing that this economic and social category of countries have limited capacity to implement their NIPs. Support under the high priority program 1 is targeted particularly to this group of countries, which have similar socio-economic development patterns.

51. The major source categories singled out as responsible for unintentional production of POPs in LDCs are all combustion-related processes, which will be targeted by the BAT & BEP approach in this project, and thus there could be some relevance to the efforts of the climate change strategic program as well.

**D. JUSTIFY THE TYPE OF FINANCING SUPPORT PROVIDED WITH THE GEF RESOURCES.**

52. Receiving countries have completed their National Implementation Plan or are on the way to finalize their NIPs. However, post-NIP activities can in general not be anticipated due to lack of capacity to further develop the formulated priorities. As such, countries subject to this project can still not implement the Stockholm Convention.
53. Financial support from GEF will be applied to strengthen capacity of the receiving countries in order to increase the level of capacity to implement the Stockholm Convention.

**E. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:**

54. Where DDT phasing out is an issue, participating countries are already participating in or will be linked to the global UNEP/WHO/GEF Programme for Identification and Introduction of Alternatives to DDT in vector control (DSSA).
55. The project will not embark on POPs disposal operation, but will closely coordinate with the GEF supported POPs disposal operations like the African Stockpiles Programme (ASP).
56. The project will address the issue of environmentally sound management and disposal of PCBs in African LDCs, but will not overlap with single country and sub-regional pilot projects already under development or implementation (e.g. the West Africa PCB Management Project).
57. Outcomes from methodology development and monitoring projects will be used as basis for the development of the project components, in particular:
- Supporting the Implementation of the Global Monitoring Plan of POPs in Western, Eastern and Southern African countries;
  - Develop Appropriate Strategies for Identifying Sites Contaminated by Chemicals listed in Annexes A, B and/or C of the Stockholm Convention;
  - Demonstrating and Promoting Best Techniques and Practices for Reducing Health-care Waste to Avoid Environmental Releases of Dioxins and Mercury.
58. This SADC project will closely cooperate with similar projects supporting LDCs in the other African sub-regions, i.e. ECOWAS and COMESA.

**F. DISCUSS THE VALUE-ADDED OF GEF INVOLVEMENT IN THE PROJECT DEMONSTRATED THROUGH INCREMENTAL REASONING :**

59. Under the Baseline Scenario and in the absence of this project, SADC/LDCs would face a significant shortage of capacities at various levels and would continue to encounter the existing barriers to cost-effective implementation of the Stockholm Convention, including:
- Lack of an enabling policy and regulatory environment
  - Weak institutional capacity for planning, guiding and enforcement for the Convention compliance
  - Weak monitoring capacity for POPs
  - Lack of mechanisms for sustainable co-financing
  - Lack of effective mechanism for orienting R&D toward the Convention implementation
  - Lack of effective mechanism for technology transfer
  - Under capacity of evaluation for continuous improvement
  - Low awareness on POPs and POPs contaminated sites
  - Unavailability of and limited access to information on POPs
  - Lack of qualified human resources in the management of POPs chemicals
60. It is recognized that some of the above barriers will be partially addressed to varying extents by other development projects within their scope. However, due to the cross-cutting nature of these barriers and the limited scope of project, not one or

combination of projects can remove all of them to a full extent. Without this project, various mechanisms to integrate the scarce resources of the Convention implementation may not be able to be established, and some innovative practices that help to achieve the priority goals of the NIP effectively and efficiently may not be demonstrated and replicated at a late stage.

61. With the project, the SADC/LDCs will be enabled to respond effectively to the capacity building articles of the Convention. The improved monitoring capacity will help to produce a more transparent inventory of POPs releases in to the environment. The various mechanisms such as trainings and partnerships that will be established by this project will lay a ground for effective and efficient management of POPs in the LDCs of SADC Sub-region thus generating significant domestic and global benefits.
62. Domestic benefits of this project may include quicker and cheaper transition to:
- Increased competitiveness in the global market since products from SADC/LDCs (food, industrial manufactured goods) will meet international standards with environmentally friendly alternatives for intentionally produced and used chemicals; thus reducing POPs pollution and contamination to water, soil, and ecosystems.
  - Improved energy efficiency, reduced emission of SO<sub>2</sub>, NO<sub>x</sub> CO<sub>2</sub> and other pollutants such as mercury, in the case of unintentional production.
  - Spin-off effects concerning strong institutional management support, strengthening of environmental legal frameworks and environmental monitoring capacities of the SADC Sub-region resulting from these actions.
63. Global benefits may include more effective and efficient reduction and elimination of POPs consequently reducing global harm to environment and human health. The contribution of LDCs to the global pollution lies in the absence of tools that would help introduce best environmental practices in waste management and disposal as well as specific technology transfer options that would render old and outdated industries to improve productivity and respect the environment. The project will introduce BAT and BEP to difference sectors, support the management of contaminated soils and help in the reduction of the overall pollution load of LDCs to the global environmental and hence increase global benefits.
64. During the NIP and the global SC Secretariat efforts, several training sessions have been carried out in the countries of the sub-region and some of these were held in developed countries in Asia. The cost estimates of baseline for the three components have been computed from average individual NIP costs for the activity during NIP development assuming that all countries had no POPs specific projects prior to NIP. BAT/BEP is taken as industry baseline of possible upgrading or modifications using the estimated CP costs implemented by UNIDO in the countries of the region including some GEF funded projects such as contaminated sites management in Africa as well as UNIDO core activities and accordingly reflected in the table below. For Outcome 3, the project will use low cost pilot remediation as a case study and a regional action plan could be proposed. No direct remediation or clean-up will take place.

*Summary Incremental Cost Matrix in US\$*

<b>Output</b>	<b>Baseline</b>	<b>Increment</b>	<b>Alternative</b>
<b>Outcome 1:</b> Introduction of BAT/BEP in industrial production processes listed in Annex C of Article 5 of the Convention	367,000	711,600	1,078,600
<b>Outcome 2:</b> Reduction of exposure to POPs at workplace and at close proximity to POPs wastes and UP-POPs emitting sources	320,000	289,300	609,300
<b>Outcome 3:</b> Identification and assessment of contaminated land/sites	841,864	349,100	1,190,964
<b>Outcome 4:</b> Establishment of project management and project M&E mechanisms	302000	150,000	452,000
<b>TOTAL</b>	<b>1,830,864</b>	<b>1,500,000</b>	<b>3,330,864</b>

**G. INDICATE RISKS, INCLUDING CLIMATE CHANGE RISKS, THAT MIGHT PREVENT THE PROJECT OBJECTIVE(S) FROM BEING ACHIEVED AND OUTLINE RISK MANAGEMENT MEASURES:**

Potential Risks	Proposed Mitigation Measures	Rating
Ensuring effective cooperation between SADC Member States is unable to be achieved for the implementation of the project.	This risk is addressed by involving all stakeholders in the SADC Sub region. It will also involve awareness raising and education aimed at achieving cross-sect oral cooperation and improved coordination mechanisms.  As the project evolves, additional mechanisms for improved coordination will be explored. Local leaders (e. g CBOs, NGOs, municipalities), will be targeted for training and awareness building under the project.	Medium
Lack of ability to develop appropriate arrangements to attract national and international private investment or secure support for the development and implementation of public/private partnerships.	The project will support the development and implementation of a technology transfer promotion programme to inform the private sector and NGOs of opportunities and to encourage their support. UNIDO will use the existing Technology Promotion Offices network to facilitate match making and investment tie-ups.	Low
Difficulties of securing access to different sources of information within the public administration and private enterprises	The public administrations and private enterprises to be sensitized for the project office to have access different sources of information	Medium
Weak coordination and harmonization of the project with other capacity building activities that will be undertaken by other ongoing or potential projects.	All POPs projects are designed to ensure regular communications and timely information exchange among project owners, implementers and stakeholders. Furthermore, the consultation mechanism initiated by the project among international and national stakeholders will avoid overlapping capacity building activities among and between the on-going and potential projects.	Low
Regional SADC BAT/BEP Forum not established due to lack of Governments in the SADC Sub region to sustain their commitment.	The project has designed activities to gain strong Governments support through provision of similar experiences of BAT/BEP Forums around the world.	Low
Risk related to the identification and management of contaminated sites with POPs chemicals	The project will use the UNIDO toolkit on the management of contaminated sites as well as other references to minimize risks; Training that will minimize risks from contaminated sites will be periodically conducted and performance monitored	Low
Risks related to health and safety issues when BAT/BEP strategies are implemented	The project will provide personnel protection equipment and training to the operators of the facilities and all those who are exposed to the POPs chemicals. Additional training and PPEs will be provided to staff working in HW management in general to increase awareness on risks to health and occupational safety.	Low
Insufficient commitment to mainstream POPs issues by governments	Increase awareness to sustainably allocate budget and retained capacity already created to address POPs issues during the NIP process and by developing and promoting successful models of sustainable funding and adequate staffing	medium

Insufficient project management capacities and human resources on BAT/BEP and therefore unable to develop technical knowledge to be shared in SMEs and informal sector	A well-defined project management system will be followed and there will be well-defined technical training to build the capacities needed to implement BAT/BEP measures	medium
Overall risk rating		Low

**H. EXPLAIN HOW COST-EFFECTIVENESS IS REFLECTED IN THE PROJECT DESIGN:**

- 65. The proposed project focuses on the cross-cutting capacity building activities with regard to all categories of POPs obligated under the Convention. In general, such synergies can therefore be an effective way to ensure effectiveness and efficiency, and consequently, result in a significant cost-effectiveness.
- 66. Project interventions will broaden from POPs focus as appropriate to achieve a relevant impact. In particular, open burning and contaminated sites are the common denominator for LDCs and the project will particularly investigate and propose sound waste management and best available techniques and practices. The project will also integrate the informal sector of the waste management cycle to maximize through generation of employment.
- 67. The major industrial source categories singled out as responsible for UP-POPs are all energy-intensive processes, which will be targeted by the BAT/BEP including cleaner production approach and thus there is strong relevance with the climate change strategic program, which will be systematically addressed to increase cost-effectiveness of the interventions.

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

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

68. The proposed project is one of the three projects in three African sub-regions making up the capacity strengthening and technical assistance for the implementation of the Stockholm Convention NIPs in African LDCs and SIDs program. The programme is organized following the structure of the Regional Economic Commissions (REC). This approach will make use of existing networks and also consider South-South cooperation.
69. The proposed project, focusing on LDCs in the SADC sub-region is being jointly implemented by UNEP and UNIDO. UNIDO will be implementing the issues of BAT and BEP, technology transfer and private sector investments and public-private partnerships (PPP) at national and sub-regional level and UNEP will focus on policies, legislative and regulatory framework enforcement and global data collection, management and processing to enhance global monitoring of POPs releases as described in the UNEP project document.
70. The following paragraphs describe the institutional framework for the overall program.
71. **Programme Coordination Body (PCB)** will be established at the highest level comprising of representatives from UNEP, UNIDO, executing agencies, REC, the Stockholm Convention Centres (SCC) and the Basel Convention Regional Centre (BCRC). The PCB will meet twice per year for the first two years, and has the role of overseeing program implementation. The PCB may invite any number of specialist and experts to contribute to its tasks or attend meetings, as agreed by members.
72. **Sub-regional Steering Committees (SRSC)** will oversee project execution. SRSC include representatives from UNEP, UNIDO, executing agency staff, POPs/NFPs, the BCRCC and relevant organizations relating to project execution. SRSC approve annual work plans, agree on terms of reference for external consultants. The SRSC will provide guidance to the executing agency and will meet once every six months for the first 18 months, and annually thereafter. key responsibilities of the steering committee include: ensuring the project's outputs meet the programme objectives; monitoring and review of the project; ensuring that scope aligns with the agreed portfolio requirements; foster positive communication outside of the focal points regarding the project's progress and outcomes; advocate for programme objectives and approaches; advocate for exchanges of good practices between countries; and report on project progress. An inception meeting will be convened for each sub-regional steering committee at the beginning of the project. At this meeting the project log frames and work plans will be reviewed and finalized.

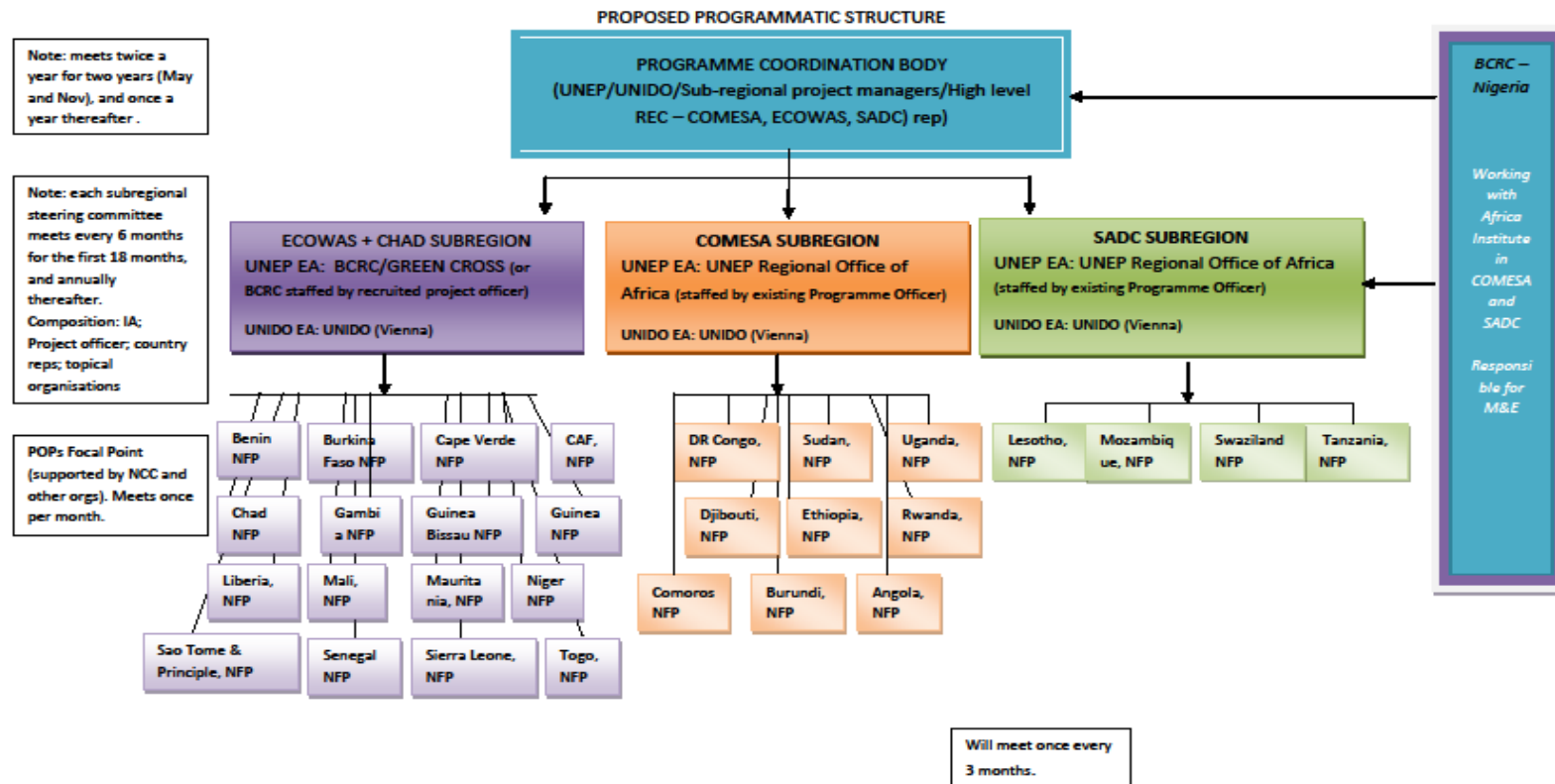
### **B. PROJECT IMPLEMENTATION ARRANGEMENT:**

73. **UNIDO** will be the **GEF Implementing Agency (IA)** for the proposed 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 from professional and support staff colleagues on a part-time as need-basis, including in particular senior staff engaged in the management and coordination of UNIDO's POPs program. UNIDO will make these services available as part of its in-kind contribution to the project.
74. National project teams, coordinated by the POPs NFPs will be responsible for executing activities at the national level. National project teams are likely to include members of the NIP National coordinating committee and other relevant stakeholders. National project teams will meet once every three months to plan upcoming project activities and evaluate recently completed or ongoing activities.
75. UNIDO and **UNEP Regional Office of Africa** will act as the Sub-regional executing agency that will oversee the development, implementation and management of the project.
76. Proposed structure of the project management is diagrammatically shown in Figure below.



Comoros  
NFP

CAPACITY STRENGTHENING AND TECHNICAL ASSISTANCE FOR THE IMPLEMENTATION OF STOCKHOLM CONVENTION NATIONAL IMPLEMENTATION PLANS (NIPS) IN AFRICAN LEAST DEVELOPED COUNTRIES (LDCs) AND SMALL ISLANDS DEVELOPING STATES (SIDS)





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

77. The proposed project design is consistent with the original PIF.

**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 Piskounov Managing Director  GEF Agency Coordinator		02/19/10	Mr. M. Eisa 	+43 1 26026 3953	M.eisa@unido.org

## ANNEX A: PROJECT RESULTS FRAMEWORK

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<b>Outcome 1: Introduction of BAT/BEP in industrial production processes mentioned in Annex C of Article 5 of the Convention</b>			
<b><i>Output 1.1 : SADC Sub-regional BAT/BEP Forum established</i></b>	<ul style="list-style-type: none"> <li>➤ Regional Forum on BAT/BEP Forum in place</li> </ul>	<ul style="list-style-type: none"> <li>➤ Participants of the regional BAT/BEP Forum</li> </ul>	<ul style="list-style-type: none"> <li>➤ Willingness in the sub-region to establish the Forum</li> </ul>
<p><i>Activity 1.1.1:</i> Convene workshop to prepare a Declaration for establishing the SADC sub-regional BAT/BEP Forum</p> <p><i>Activity 1.1.2:</i> Launch the Regional Forum for development and formulation of a regional action plan on BAT/BEP</p> <p><i>Activity 1.1.3:</i> Assist in enhancing industry performance in the region in conformity with the BAT/BEP guidelines and provisional guidance document including regional, local and traditional practices and socio-economic considerations</p> <p><i>Activity 1.1.4:</i> Develop partnerships in the region for successful implementation of the regional action plan</p>	<ul style="list-style-type: none"> <li>➤ Verify the physical presence of the declaration</li> <li>➤ Launching and existence of Regional Forum</li> <li>➤ At least two industries per country in conformity with BAT/BEP in the region</li> <li>➤ Memorandum of Understanding to develop partnership for the implementation of regional action plan</li> </ul>	<ul style="list-style-type: none"> <li>➤ Workshop proceeding and copy of Declaration</li> <li>➤ Activity report on establishment of the Regional Forum</li> <li>➤ Report on laboratory test</li> <li>➤ Signed MoU for the implementation of regional action plan</li> </ul>	<ul style="list-style-type: none"> <li>➤ Willingness of experts to participate in the forum</li> <li>➤ Resistance to develop partnership</li> </ul>
<b><i>Output 1.2: Human Resource for BAT/BEP developed, technical knowledge shared in SMEs and informal sector</i></b>	<ul style="list-style-type: none"> <li>➤ Number of experts per country per year trained in BAT/BEP</li> </ul>	<ul style="list-style-type: none"> <li>➤ Existence of experts in the sub-region knowledgeable with BAT/BEP</li> </ul>	<ul style="list-style-type: none"> <li>➤ Lack of budget to carry out training</li> </ul>
<p><i>Activity 1.2.1:</i> Carry out training workshops in BAT/ BEP in textile dyeing and finishing</p> <p><i>Activity 1.2.2:</i> Carry out training workshops in BAT/ BEP in leather dyeing and finishing</p> <p><i>Activity 1.2.3:</i> Carry out training workshops in BAT/ BEP in waste oil refinery</p> <p><i>Activity 1.2.4:</i> Undertake targeted awareness raising campaigns in BAT/BEP for informal sector</p>	<ul style="list-style-type: none"> <li>➤ At least two experts per country per year in BAT/BEP in textile sector trained on BAT/BEP</li> <li>➤ At least two experts per country per year in the leather sector trained on BAT/BEP</li> <li>➤ At least two experts per country per year trained in BAT/BEP in used oil refinery sector</li> <li>➤ Network of the informal sector in each country for awareness on principles of BAT/BEP</li> </ul>	<ul style="list-style-type: none"> <li>➤ Check the existence of such experts in the factories</li> <li>➤ Training and activity reports</li> </ul>	<ul style="list-style-type: none"> <li>➤ Willingness to participate in the awareness campaign</li> </ul>

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<b>Output 1.3: BAT/BEP in textile and leather dyeing and finishing and waste oil refinery source categories initiated</b>	<ul style="list-style-type: none"> <li>➤ BAT/BEP introduced in two textiles, two tanneries and two oil refineries per country per year</li> </ul>	<ul style="list-style-type: none"> <li>➤ Detailed activity reports</li> </ul>	<ul style="list-style-type: none"> <li>➤ High cost involved in introducing BAT/BEP into the process</li> <li>➤ Willingness of the part of the factories to introduce pilot projects</li> </ul>
<p><i>Activity 1.3.1:</i> Carry out pilot demonstration of BAT/ BEP in textile dyeing and finishing</p> <p><i>Activity 1.3.2:</i> Carry out pilot demonstration of BAT/ BEP in leather dyeing and finishing</p> <p><i>Activity 1.3.3:</i> Carry out pilot demonstration of BAT/ BEP in waste oil refinery</p>	<ul style="list-style-type: none"> <li>➤ Availability of at least one pilot demonstration in the textile sector in the sub-region</li> <li>➤ Availability of at least one pilot demonstration in the leather sector in the sub-region</li> <li>➤ Availability of at least one pilot demonstration in waste oil refinery sector in the sub-region</li> </ul>	<ul style="list-style-type: none"> <li>➤ Visit pilot demonstration sites</li> </ul>	
<b>Outcome 2: Reduction of exposure to POPs at workplace and close proximity of POPs wastes and UP-POPs emitting sources</b>			
<p><b>Output 2.1</b></p> <p><b>Concept of Cleaner Solid Municipal Waste Management System introduced to the national plans of waste management system in the participating countries (prevention and mitigation of UP-POPs releases from open burning and landfill fires)</b></p>	<ul style="list-style-type: none"> <li>➤ Integrate Solid Municipal Waste Management system in national plans in each of the participating countries</li> </ul>	<ul style="list-style-type: none"> <li>➤ Copy of national plans on waste management system</li> </ul>	<ul style="list-style-type: none"> <li>➤ Municipalities are well informed on the existence and objective of the SC and are active stakeholders for the implementation of the action plan on UP-POPs as per Article 5 of the SC</li> <li>➤ Resistance from the part of smallholder farmers to use bio-botanical pesticides</li> </ul>
<p><i>Activity 2.1.1.</i> Organize national awareness raising workshop on cleaner waste management with the aim to promote business and job opportunities in the field of waste management</p> <p><i>Activity 2.1.2</i> Organize a sub-regional training workshop for waste management personnel with special focus on risk reduction and concept of cleaner municipal solid and healthcare waste management</p>	<ul style="list-style-type: none"> <li>➤ Minimum of two awareness raising workshops on solid municipal waste management organised for national and local decision makers per country</li> <li>➤ At least one technical workshop held for waste management personnel at sub-regional level</li> <li>➤ At least one sound municipal solid waste management option show case demonstrated</li> </ul>	<ul style="list-style-type: none"> <li>➤ Workshop materials and proceedings</li> <li>➤ Reports on the ongoing demonstration activities on selected site</li> <li>➤ Document on the Regional Programmes for training on sound waste management</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ Willingness and commitment of decision makers to promote implementation of sound waste management measures</li> <li>➤ Personnel involved in solid municipal waste aware of the challenge of meeting sound waste management criteria and</li> </ul>

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p><i>Activity 2.1.3</i> Support the establishment of a regional programme for training on Cleaner municipal solid waste and healthcare waste through the BCRC, CPCs and/or Stockholm Convention Technical centres as appropriate</p> <p><i>Activity 2.1.4</i> Update and adapt the healthcare management manual developed under the GEF/UNDP demonstration project for training purposes in medical health schools</p> <p><i>Activity 2.1.5</i> Carry out pilot demonstration of cleaner healthcare waste management based on the lessons learned from GEF/UNDP demonstration project and support replication activities in the sub-region</p>	<ul style="list-style-type: none"> <li>➤ Existence of regional programme on sound waste management</li> <li>➤ Courses /modules related to waste management included in teaching programmes at school</li> <li>➤ Participating countries implementing a sound health-care waste management system at pilot scale</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ School syllabus curriculum of education, Ministry of Health and Ministry of Environment collaborate to take the lead in the production and dissemination of the training manual</li> <li>➤ Pilot scale to implement the innovative strategy</li> </ul>	<p>receives sufficient support from various waste management staffs to apply BAT/BEP in their daily job</p> <ul style="list-style-type: none"> <li>➤ Municipal waste management staff is stakeholder in the demonstration operation and is willing to integrate lessons learnt in the national waste management system</li> <li>➤ Availability of qualified human resources to elaborate update and implement the training programme on a regular basis</li> <li>➤ MoH has or elaborates a sound health-care waste management strategy and endeavours to implement</li> <li>➤ Mechanism in place for consultation among various factors involved at the hospital's level</li> <li>➤ Management and coordination capacity exists and is operational</li> </ul>
<p><b><i>Output 2.2: Bio-botanical pesticides produced and formulated in agriculture including market gardening in urban areas through existing south-south cooperation programmes and with the participation of an association market gardeners (alternative to Annex A pesticides)</i></b></p>	<ul style="list-style-type: none"> <li>➤ At least two Micro- or small enterprises per country produce and market bio- botanical pesticides</li> <li>➤ At least two informal waste recyclers per country are formalized to become Micro- or small enterprises</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stores of bio- botanical pesticides providers</li> <li>➤ Lack of resource to upgrade waste recycling of the informal sector to the formal sector</li> </ul>	<ul style="list-style-type: none"> <li>➤ Market gardeners are organised on a national basis and involved in the implementation of the measures in the NIP targeting the phase out of agricultural use of Annex A pesticides</li> </ul>

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p><i>Activity 2.2.1</i> Organize (in cooperation with FAO/RENAP/MOA) an awareness raising workshop for market gardeners on integrated pest management in crop protection and post-harvest management with particular focus on the use of bio-pesticides</p> <p><i>Activity 2.2.2</i> Review existing data and conduct national inventory of existing bio-pesticides formulations</p> <p><i>Activity 2.2.3</i> Facilitate field testing of bio-pesticides in cooperation with research institutions, RENPAP, FAO and farmer associations</p> <p><i>Activity 2.2.4</i> Support Public-Private partnership (PPP) model for the creation of a national Micro- or Small Enterprise to produce and promote the use of bio-botanical pesticides. Continuous evaluation will ensure adaptation and thereby success of the model</p>	<ul style="list-style-type: none"> <li>➤ At least one awareness workshops per country to be held for smallholder farmers on integrated pest management and use of bio-botanical pesticides</li> <li>➤ Availability of database in each country</li> <li>➤ Inventory reports on pesticide plants in each country</li> <li>➤ Availability of solid or liquid botanical pesticide in the market</li> <li>➤ At least two producers per country using and/or willing to use individually or in co-operatives the new natural bio-botanical pesticide formulations</li> <li>➤ Research activities on field application of bio-pesticides for pest management</li> <li>➤ Micro- or small enterprises producing and/or providing bio- pesticides</li> </ul>	<ul style="list-style-type: none"> <li>➤ Workshop reports</li> <li>➤ Data base management report and Inventory reports</li> <li>➤ Availability in the market</li> <li>➤ Reports on field visits to enterprises producing bio-botanical pesticides</li> <li>➤ Activity reports</li> </ul>	<ul style="list-style-type: none"> <li>➤ The academia, the Ministries of Agriculture, Environment and various actors in urban and peri-urban agriculture collaborate to eliminate the usage of Annex A or Annex B pesticides in agriculture</li> <li>➤ Organic agriculture is seen by the various actors as an opportunity for business</li> <li>➤ MoA promotes and supports integrated pest management in crop protection and post harvest management</li> <li>➤ Smuggling of non-registered pesticides controlled</li> <li>➤ Bio-botanical pesticides are economically affordable</li> </ul>
<p><b><i>Output 2.3. Strategy developed to audit, formalized and scale-up to macro and small enterprises informal management of PCBs, solid and liquid waste plastic wastes, used paper and e-waste</i></b></p>	<ul style="list-style-type: none"> <li>➤ At least two informal waste recyclers per country are formalized to become Micro- or small enterprises</li> </ul>	<ul style="list-style-type: none"> <li>➤ Site visits to informal waste recycling system</li> </ul>	<ul style="list-style-type: none"> <li>➤ Lack of resources to upgrade waste recycling of the informal sector t</li> <li>➤ o the formal sector</li> </ul>
<p><i>Activity 2.3.1</i> Identify the informal collection system of PCB and used oil and perform environmental inventory audits to determine the need for enhancing collection and channeling of the PCBs streams on an ESM manner in line with GEF/UNEP pilot project in the sub-region</p> <p><i>Activity 2.3.2</i> Conduct a survey on existing concepts for plastic waste management including the reuse of waste plastic bags as a raw material for various articles</p>	<ul style="list-style-type: none"> <li>➤ Validated national Inventory audit report</li> <li>➤ Concept paper on existing plastic waste management options developed</li> <li>➤ Verify the existence of a national micro or small enterprises that are having environmentally sound recycling of paper and e-waste at the national level</li> <li>➤ Existence of national/sub-regional micro- or small enterprise recycling paper and e-waste in an ESM manner</li> </ul>	<ul style="list-style-type: none"> <li>➤ Inventory audit reports</li> <li>➤ Stakeholders consultation reports</li> <li>➤ Copy of Concept paper on plastic waste management</li> <li>➤ Reports on site visit and field visit to the informal sector doing this activity</li> <li>➤ Stakeholders consultation reports</li> <li>➤ Inventory report</li> </ul>	<ul style="list-style-type: none"> <li>➤ The national power companies, private owners of electrical transformers and the handicraftsmen using/recycling PCBs waste collaborate in implementing the NIP's action plan on the management of PCBs and their wastes.</li> <li>➤</li> </ul>

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p><i>Activity 2.3.3</i> Develop a concept for plastic waste management including the reuse of waste plastic bags as a raw material for various articles</p> <p><i>Activity 2.3.4</i> Support the creation of a national micro or small enterprises for an environmentally sound recycling of plastic bags</p> <p><i>Activity 2.3.5</i> Investigate the current informal paper and e-waste management and the management of other halogenated solid and liquid wastes</p> <p><i>Activity 2.3.6</i> Provide support for activities to prevent irrational dumping and open burning of paper and other halogenated solid and liquid wastes</p> <p><i>Activity 2.3.7</i> Support PPP model for creation of a national Micro- or Small Enterprise for an environmentally sound recycling of paper and e-wastes in the sub-region</p>	<ul style="list-style-type: none"> <li>➤ Existence of such enterprises model in participating countries</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ The academia and the various actors in the management of municipal solid waste collaborate to mitigate the risk posed by the land filling, open burning of plastic bags, open burning of paper, dumping of e-waste and the like</li> <li>➤ Private investors are willing to promote green micro- or small enterprises recycling paper and e-waste and recycling of other halogenated solid and liquid wastes in the production of various consumer products</li> <li>➤</li> </ul>
<b>Outcome 3: Identification and assessment of contaminated sites</b>			
<p><b>Output 3.1: <i>Site identification strategies, protocols and guidelines formulated and applied in the Sub-region based on the UNIDO toolkit</i></b></p>	<ul style="list-style-type: none"> <li>➤ Existence of site identification strategies protocols and guidelines in each of the participating countries</li> <li>➤ Soil and water analysis carried out to verify the effectiveness of the remediation technology at the pilot scale</li> <li>➤ Existence of contaminated sites remediation plan in each country</li> </ul>	<ul style="list-style-type: none"> <li>➤ Remediation plan of the contaminated sites</li> <li>➤ Report on the effectiveness of the demonstration pilot project</li> <li>➤ Cost benefit analysis report on various mediation technology options</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ Commitment of LDCs/SADC member states to clean up contaminated sites (hot spots)</li> <li>➤ Least costly technologies may not always be efficient</li> <li>➤ Willingness to host pilot demonstration project</li> </ul>
<p><i>Activity 3.1.1</i> Prepare manuals, procedures, protocols and guidelines for local use for the identified POPs contaminated sites and for conducting risk assessment of these sites</p>	<ul style="list-style-type: none"> <li>➤ Physical presence of the strategy document</li> <li>➤ Document that stipulate the step by step approach to select benign technology and cleanup of contaminated sites</li> </ul>	<ul style="list-style-type: none"> <li>➤ Letter of endorsement of the strategy and methodology documents by SADC member states</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders involvement during the process of formulating the strategy</li> </ul>

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p><i>Activity 3.1.2</i> Develop methodology for selection of economically feasible and environmentally sound POPs contaminated site remediation technologies</p> <p><i>Activity 3.1.3</i> Conduct study to identify environmentally sound remediation technologies or benign ways of cleaning up of the contaminated sites</p> <p><i>Activity 3.1.4</i> Undertake pilot demonstration project to verify the effectiveness of the low cost remediation technology and validate contaminated site identification methodology</p> <p><i>Activity 3.1.5</i> Prepare contaminated site remediation plans of the identified hot spots in the sub-region</p>	<ul style="list-style-type: none"> <li>➤ Cost benefit analysis on the effectiveness and viability of various remediation technologies</li> <li>➤ Soil and water quality analysis results of samples taken from the cleaned up sites to verify efficiency and cost effectiveness of the remediation technologies</li> <li>➤ Physical presence of contaminated site plans for the identified hot spots</li> </ul>	<ul style="list-style-type: none"> <li>➤ Report on comparison of costs of various remediation technological options</li> <li>➤ Soil and water quality analysis results of the samples taken from the cleaned up sites</li> <li>➤ Analysis results from Central laboratories</li> <li>➤ Institution responsible for the remediation of contaminated sites</li> </ul>	<ul style="list-style-type: none"> <li>➤ Stakeholders involvement during the process of formulating the methodology</li> <li>➤ Resistance to use new technology on the part implementers</li> <li>➤ Availability of reliable laboratory that can carry out the required analysis</li> <li>➤ Availability of resources to implement those plans</li> </ul>
<p><b><i>Output 3.2: Capacity to manage the contaminated sites strengthened</i></b></p>	<ul style="list-style-type: none"> <li>➤ At least 5 personnel trained in each participating country in the management and remediation of contaminated from each country</li> <li>➤ 50 % of the population in each country that are aware of the danger of contaminated sites to human health and environment</li> <li>➤ Number of experts and stakeholders that regularly uses the website and data base from each country</li> </ul>	<ul style="list-style-type: none"> <li>➤ Proceedings of various training and awareness raising workshops</li> <li>➤ Feed back from the data base and web site users on contaminated sites</li> <li>➤ Report on water and soil sample results from the reclaimed site</li> </ul>	<ul style="list-style-type: none"> <li>➤ Create the enabling environment to put in place strategy and identify contaminated site</li> </ul>
<p><i>Activity 3.2.1</i> Launch training workshop using UNIDO Tool kit to experts from relevant institutions to enable them collect scientific data from contaminated sites and assess potential risks to humans, wildlife and the environment</p> <p><i>Activity 3.2.2</i> Create database and website within the SADC sub-region, linked to UNIDO website to share and disseminate data / information collected from contaminated sites and hot spots</p>	<ul style="list-style-type: none"> <li>➤ Five experts trained with a capacity to manage POPs contaminated site in each participating country</li> <li>➤ Participation of the private sector</li> <li>➤ Suggestions and recommendations to remove barriers to market oriented operations</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ Training materials and training reports on contaminated sites</li> <li>➤ Reports on incentives, risks, reasonable rate of return and copy of strategy report</li> <li>➤ Workshop reports</li> <li>➤ Reports on pilot demonstration projects in relation with policy development, incentives and PPP</li> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤ Willingness of the Government to consider suggestions and recommendations by private investors on the strategy</li> <li>➤ Willingness of stakeholders to participate in fund raising workshops</li> </ul>



Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p><i>Activity 3.2.3</i> Raise awareness among the major stakeholders, including decision makers, on the health risk that may result from exposure to POPs contaminated sites</p> <p><i>Activity 3.2.4</i> Assess aspects of involvement of technology providers for the development of PPP in managing contaminated sites</p> <p><i>Activity 3.2.5</i> Develop mechanism to mobilize funds from within the SADC member states for the remediation of contaminated sites to ensure project sustainability</p>	<ul style="list-style-type: none"> <li>➤ Availability of fund for co-financing</li> <li>➤ Number of workshops on fund raising</li> <li>➤ Number of countries willing to replicate the pilot</li> </ul>	<ul style="list-style-type: none"> <li>➤</li> </ul>	<ul style="list-style-type: none"> <li>➤</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>1</sup>** dated 8 December 2010

**Country/Region:** Regional (Lesotho, Madagascar, Mozambique, Tanzania, Zambia)  
**Project Title:** Regional (Lesotho, Madagascar, Mozambique, Tanzania, Zambia): AFLDC: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Subregion  
**GEFSEC Project ID:** 3942  
**GEF Agency Project ID:** XX/RAF/09/013  
**GEF Focal Area (s):** POPs  
**GEF-4 Strategic Program (s):** POPs-1; POPs-2  
**Anticipated Project Financing :** PPG:                      **GEF Project Grant:** \$3,000,000                      **Co-financing:** \$ 2,993,517                      **Total Project Cost:** \$ 5,993,517  
**PIF Approval Date:** April 29, 2009                      **Anticipated Work Program Inclusion:** November 12, 2009  
**Program Manager:** Ibrahima Sow                      **GEF Agency Contact Person:** Mr. M. Eisa

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion <sup>2</sup>	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
Eligibility	1. Is the participating country eligible?	Participating countries have ratified the Stockholm Convention. They have submitted or are in the process of submitting their NIPs.	Participating countries will have to submit their NIPs to the SCS or make significant progress by the time the FSP comes for CEO approval.  Clarify the list of participating countries. Are Zambia and Madagascar on board? If not. Why not?	5 Jan11: The project will not be able to include Madagascar as the country is on UN sanction while Zambia did not respond to several requests sent to the country.
	2. If there is a non-grant instrument in the project, check if project document includes a calendar of reflows and provide comments, if any.			
	3. Has the operational focal point endorsed the project?	Endorsement letters are expected Lesotho and UR Tanzania	Endorsement letter from Swaziland is missing.	5 Jan11: Endorsement letters from Lesotho and Swaziland are attached in Annex 3 of the project document.

<sup>1</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>2</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
	4. Which GEF Strategic Objective/ Program does the project fit into?	SP1 & 2		
	5. Does the Agency have a comparative advantage for the project?	Yes, UNEP will focus on aspects relating to policies, legislative and regulatory framework enforcement and global data collection, management and processing while UNIDO will focus on implementation at national and sub-regional level of issues of BAT/BEP, technology transfer and private sector investments and public-private partnerships.	Same as in PIF	
Resource Availability	6. Is the proposed GEF Grant (including the Agency fee) within the resources available for (if appropriate):			
	• The RAF allocation?	N/A	N/A	
	• The focal areas?	N/A	N/A	
	• Strategic objectives	N/A		
	• Strategic program?	N/A		
Project Design	7. Will the project deliver tangible global environmental benefits?	It is expected that the proposed project will lead to the reduction of environmental and public health risks posed by POPs.		
	8. Is the global environmental benefit measurable?		7/12/10: UNIDO: Given the project activities, including initiation of some BAT/BEP and alternative pesticides, it is likely that there will be tangible reductions in some POPs uses and releases. There should be sufficient understanding of the sectors to provide an indication of what reductions could be expected through the pilots, at least, to	5Jan11: It is expected that the waste prevention and recycling measures alone will reduce POPs emissions by at least 25% on the level mentioned in the NIPs. The above has been reflected under para #44 of the project document and reflected in the CEO endorsement document..

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	9. Is the project design sound, its framework consistent & sufficiently clear (in particular for the outputs)?	Yes	<p>improve the measurability of the benefits and to provide, in the outcomes sections, indicative expected POPs reductions.</p> <p>7.12.2010: UNIDO: a) "Sub-regional BAT/BEP Forum" could benefit from a name that the general public could understand -- BAT and BEP are approaches used in many areas not just reductions of dioxins and furans as in Stockholm Convention. Also a brief description of the sub-regional industry sectors who should be involved in this would be helpful.</p> <p>b) A justification for the sectors chosen is not provided, or an indicative indication of amounts of POPS used or released – are these sectors identified in NIPS/Inventories?</p> <p>c) Plastic and paper waste activities -- presumably the objective here is dioxin / furan reduction due to less open burning, but this is not sufficiently explained. Also needs a brief description of how the micro-enterprise model for plastics, paper, and e-waste would mitigate releases and worker exposure to POPs and to any other harmful pollutants, particularly if thermal processes envisioned. More detail on the approaches envisioned would be useful.</p> <p>d) Contaminated site activities -- are the hot spots already identified? If not the Output 3.1 activity list seems to be missing site identification (see also budget comment below). Also, what is the "low cost remediation technology" referenced and is it proven?</p>	<p>5Jan11:</p> <p>a) BAT/BEP Forum is a programmatic platform where countries of the region are grouped by sectors according to the highest PCDD/F emissions from the industry, collectively encouraged to cooperate and exchange information and develop a regional plan on how to achieve substantial reduction / elimination of these emissions, thereby contribute to the global monitoring plan. (see para 77 of the project document for further details)</p> <p>b) Based on the participating countries' NIPs, the selected sectors are textile, tanneries, used oil refineries and open burning of waste at dumpsites. Entities that will host the pilots according to the ability to co-finance and availability of adequate human resources to carry out the pilot demonstrations will be identified and nominated by the participating countries (see additional sentences under para 78).</p> <p>c) Likewise on para #79 the establishment of micro-enterprises (plastic, paper and e-waste) will maximize the reuse of materials and</p>

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
				<p>prevent open burning. In the case of e-waste, the prolongation of the use of these articles through refurbishment and maintenance skills readily available will avoid the present practices of open burning for recovery of useful materials.</p> <p>d) ) For contaminated sites, the countries have identified the hot spots to be addressed by the proposed project and reflected these in their NIP documents knowing that GEF funds will not be used for remediation purposes of all hot spots although the project will help develop and support the planning measures. Output 3.1.1 has been revised accordingly.</p> <p>“Low cost remediation technology” is based on the maximum economic use of available local management resources such as containment of pollutants on site, as a first step, then explore bio-remediation and phyto-remediation techniques that have been proven and well documented under similar climatic conditions, measures to reduce risks to human health, long-term plans for removal of mobile non-aqueous liquid phase, habitat protection and sediment capping, at a later stage. (see para 98 of the project document).</p>
	10. Is the project consistent with the recipient country’s national priorities and policies?	Yes. The project builds upon priorities identified in the countries' NIPs.	Yes, as in PIF.	

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	11. Is the project consistent and properly coordinated with other related initiatives in the country or in the region?	Yes, in particular with <ul style="list-style-type: none"> <li>- the UNEP/WHO programme for identification and introduction of alternatives to DDT in vector control:</li> <li>- the WB/FAO African Stockpile programme;</li> </ul> the West Africa PCB management project.	Yes in particular with: <ul style="list-style-type: none"> <li>- the UNEP/WHO programme for identification and introduction of alternatives to DDT in vector control:</li> <li>- the WB/FAO African Stockpile programme;</li> <li>- UNEP/UNDP Partnership Initiative for the Integration of Sound Management of Chemicals into development planning process;</li> <li>- The UNEP/EC ACP-MEAs programme</li> <li>- The FAO currently being developed concept for a regional Pesticide Lifecycle Development in Africa;</li> <li>- The Basel Convention e-waste project;</li> <li>- FAO/Mozambique project on pesticides disposal and management</li> </ul>	
	12. Is the proposed project likely to be cost-effective?			
	13. Has the cost-effectiveness sufficiently been demonstrated in project design?		It is expected that the regional approach will allow a significant reduction of transaction costs and allow economies of scale. 7 December 2010 Yes, the overall cost-effectiveness is sufficiently demonstrated through description of the sub-regional approach and building on other related programs. However, when it comes to specific pilot activities in the UNIDO proposal, there is little information on technologies and scale with which to evaluate cost-effectiveness of specific approaches.	5Jan2011: UNIDO has carried out several case studies through its cleaner production and waste management programme and developed training manuals that would help SMEs replicate the results and render cost effective the technologies adapted for use.
	14. Is the project structure sufficiently close to what was presented at PIF?			

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	<p>15. Does the project take into account potential major risks, including the consequences of climate change and includes sufficient risk mitigation measures?</p>	<p>Yes, well addressed. CC risks, appear negligible here.</p>	<p>Yes, the project has a good description of several risk factors (climate appears to be a negligible risk here.) However, the proposals should also address the following risks:            UNEP: a) Given the emphasis on capacity building, how will the project address the risk of the trained and sensitized officials retiring, leaving country, or otherwise not continuing to be involved. Training of trainer and knowledge management approaches helpful in this regard but there should be a specific focus on transferring the skills to new staff.            b) Contaminated sites: Risk of not leveraging funding for actual remediation. This risk could make the population unwilling to further work on this issue.            UNIDO            c) UNIDO: because of field-testing activity it appears bio-pesticide is not proven in commerce -- if this activity doesn't appear viable how will project adjust?            d) UNEP: CIEN-- the proposal talks about revitalizing, but does not explain why CIEN became non-vital in the first place. The same conditions would appear to be risks.            e) UNEP: Framework legislation – what happens if the country does not end up adopting the framework chemicals legislation?</p>	<p>b) The toolkit developed by UNIDO on contaminated sites management will enable countries to systematically address the issue and the professional technical reports generated will attract donors to fund the clean-up work.</p> <p>c) The project will benefit from UNIDO experiences of its RENPAP network and the products marketed successfully as bio-botanical pesticides at small scale and household levels in Asia and Europe. Africa has not been able to penetrate the local market although some researches have been successfully piloted in many countries. (see para 94 for more details)</p>

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	16. Is the value-added of GEF involvement in the project clearly demonstrated through incremental reasoning?	It will be quasi impossible for LDCs to implement their NIPs without the support of donors, including assistance from the GEF.	Yes, UNIDO and UNEP both have clear descriptions of NIP implementation in the absence of GEF support. In the UNIDO incremental cost matrix, it is difficult to understand where the baseline numbers come from; this could be described in words in the text (baseline and alternative with costs) then listed in the matrix (baseline \$, alternative \$, increment \$).	5Jan 2011: Noted and revised accordingly.
<b>Justification for GEF Grant</b>	17. Is the type of financing provided by GEF, as well as its level of concessionality, appropriate?		Yes.	
	18. How would the proposed project outcomes and global environmental benefits be affected if GEF does not invest?		In the absence of GEF support, there will be little implementation of NIPs in the subregion. In addition, awareness raised and stakeholder engagement done during the NIP phase will lose momentum and will be difficult to rebuild. Investment projects to implement POPs reductions will be unlikely to come forward for financing because the capacity and essential knowledge is currently absent.	
	19. Is the GEF funding level of project management budget appropriate?	Yes	Yes. Project management budget stands at 8 % for UNEP and 10 % for UNIDO	
	20. Is the GEF funding level of other cost items (consultants, travel, etc.) appropriate?		7.12.2010 UNEP I do not understand why GEF has to pay US\$ 126,000 for national economic instrument activities (See budget table – training component – group training #3203) when UNEP has already generated a draft guidance document for policymakers on the use of economic instruments for financing SCM. Please clarify.	



Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
	21. Is the indicative co-financing adequate for the project?	Co-financing ratio stands at 1:1. This appears relatively low but could be justified by the fact that we are dealing with least developed countries.		
	22. Are the confirmed co-financing amounts adequate for each project component?		The ratio of GEF co-financing for UNEP stands at 1:1.3, which is adequate. The ratio for UNIDO stands at 1:0.72 which is low. UNIDO is requested to work with recipient countries and other donors in order to increase the co-financing to a ratio at least to 1:1	5Jan11: The co-financing budget has been adjusted accordingly. UNIDO co-financing has been increased to US\$ 700,000 and will continue to leverage funding from relevant donors during project implementation.
	23. Has the Tracking Tool <sup>3</sup> been included with information for all relevant indicators?			5Jan11: The tracking tool will be available during project implementation
	24. Does the proposal include a budgeted M&E Plan that monitors and measures result with indicators and targets?		Yes.	
<b>Secretariat's Response to various comments from:</b>	STAP	None received.		
	Convention Secretariat	None received.		
	Agencies' response to GEFSEC comments			
	Agencies' response to Council comments			
<b>Secretariat Decisions</b>				
<b>Recommendation at PIF</b>	<b>25. Is PIF/PFD clearance being recommended?</b>	Yes.		
	26. Items worth noting at CEO Endorsement.	Upon submission of a revised proposal addressing the comments raised in this review, in particular		5Jan11: Responses to these comments have already been given above.

<sup>3</sup> At present, Tracking Tools apply to Biodiversity projects only. Tracking Tools for other focal areas are currently being developed.

Review Criteria	Questions	Secretariat Comment at PIF (PFD)/Work Program Inclusion	Secretariat Comment At CEO Endorsement(FSP)/Approval (MSP)	UNIDO responses
		<ul style="list-style-type: none"> <li>- Clarify the list of participating countries</li> <li>- Endorsement letter from Swaziland;</li> <li>- UNIDO to clarify GEB based on BAT/BEP pilot activities concerning different sectors;</li> <li>- Issues related to the BAT/BEP regional forum;</li> <li>- Issues related to plastic. E-wastes and contaminated sites;</li> <li>- Payment of \$US 126,000 for economic instrument activities (UNEP)</li> <li>- Need to increase the co-financing (UNIDO)</li> </ul>		
Recommendation at CEO Endorsement	<b>27. Is CEO Endorsement being recommended?</b>			
Review Date	1 <sup>st</sup> review* 2 <sup>nd</sup> review*		December 07, 2010	

\* 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?	
	3. Is the proposed GEF PPG Grant (including the Agency fee) within the resources available under the RAF/Focal Area allocation?	xxxPPGResourcesxxx
	4. Is the consultant cost reasonable?	
Recommendation	<b>5. Is PPG being recommended?</b>	
Other comments		
Review Date	1 <sup>st</sup> review* 2 <sup>nd</sup> review*	

\* 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.

**ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF 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>			
<b>Local</b>			
National Project Coordinator	465	34.4	NPC will prepare project's Annual Workplan and its indicators; monitor day-to-day project implementation progress; coordinate project implementation activities in participating countries incl. preparation of TORs for technical consultants/experts, subcontracts, support organization of workshops and preparation of project quarterly and annual progress reports
<b>International</b>			
Regional Coordinator	1,860	6.9	RC will coordinate all activities of the project linking both vertically and horizontally given in the project organizational chart. He/she will oversee the work of the NPC and make sure that all activities are performed in a timely manner in accordance with the workplan and support M&E activities of the project
M&E consultants	1,860	12.9	TORs will be drafted during project implementation
Justification for Travel, if any:			
<b>For Technical Assistance</b>			
<b>Local</b>			
National Project Coordinator	465	103.2	NPC will assist project officer, working in a team with RC and other individual technical experts
National experts on contaminated sites, BAT/BEP, pesticides and wastes management	465	326.8	TORs will be drafted during project implementation
<b>International</b>			
Regional Coordinator	1,860	14.6	RC will provide overall technical assistance on workshops, trainings, develop a workplan for management and reduction/elimination of POPs; provide assistance in drafting technical specifications of equipment procurement; provide technical advice on establishment of MIS for the project and provide corrective measures for accidental issues that may arise
Experts on contaminated sites, BAT/BEP, pesticides and wastes management	1,860	75.7	TORs will be drafted during project implementation
Justification for Travel, if any: Travel will be used to cover travel costs to participating countries (regional / national) of national / international consultants/experts for technical assistance			

\* 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.

International and national consultants reviewed the National Implementation Plans (NIPs) of the participating countries, identified capacity building needs and outlined and elaborated the rationale, components, expected outputs and activities of the project to strengthen the capacity of the LCDs member states of ECOWAS, COMESA, SADC to translate the already prepared NIPs into action.

Three (3) sub-regional workshops were conducted in Dakar for ECOWAS, Nairobi FOR COMESA and Pretoria for SADC LDC countries respectively. Accordingly, the draft and final project documents were reviewed and validated through a consultative process.

Based on the feedbacks received from the GEF coordination office of UNEP, WWF, Basel Centres and the representatives of the sub-regions the project documents were fine tuned and revised version has been developed.

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

So far the progress has been smooth and substantial. There is no finding that might affect the project design and implementation.

### 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 Amount (\$)</i>				<i>Co-financing (\$)</i>
		<i>Amount Approved</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>	<i>Uncommitted Amount*</i>	
3. Needs assessment and design of project interventions with regards to introduction of BAT/BEP in industrial production processes in participating countries	Completed	80,000	80,000			260,000
4. Needs assessment and design of project interventions with regards to POPs at workplace and close proximity to POPs wastes and UP-POPs emitting sources	Completed	70,000	50,000			140,000
5. Needs assessment for identification and formulation of support to existing regionally coordinated mechanisms from effective dissemination and sharing of the specific project/country experiences	Completed	10,000	10,000			80,000

6. Development of comprehensive project M&E system and definition of concrete project impact indicators	Completed	10,000	10,000			40,000
7. Development of project design (incl. regional harmonization workshop for all components) aimed at the involvement of key stakeholders in the project with regards to co-financing, in-country project t preparation and design, project coordination, assessment of incremental costs, financial management and development of technical documents needed for successful project development and implementation	Completed	30,000	50,000			80,000
<b>Total</b>		<b>200,000</b>	<b>200,000</b>			<b>820,000</b>

\* 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.