



GLOBAL ENVIRONMENT FACILITY
INVESTING IN OUR PLANET

MONIQUE BARBUT

Chief Executive Officer and Chairperson

1818 H Street, NW
Washington, DC 20433 USA
Tel: 202.473.3202
Fax: 202.522.3240/3245
E-mail: mbarbut@TheGEF.org

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Dear Council Member:

The UNEP and UNIDO as the Implementing Agencies for the project entitled: ***Regional (Angola, Lesotho, Mozambique, Swaziland, Tanzania): Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Sub region under the AFLDC Program: 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)***, has submitted the attached proposed project document for CEO endorsement prior to final Agency approval of the project document in accordance with the UNEP and UNIDO procedures.

The Secretariat has reviewed the project document. It is consistent with the project concept approved by the Council in November 2009 and the proposed project remains consistent with the Instrument and GEF policies and procedures. The attached explanation prepared by the UNEP and UNIDO satisfactorily details how Council's comments and those of the STAP have been addressed.

We have today posted the proposed project document on the GEF website at www.TheGEF.org for your information. We would welcome any comments you may wish to provide by March 16, 2011 before I endorse the project. You may send your comments to gcoordination@TheGEF.org.

If you do not have access to the Web, you may request the local field office of UNDP or the World Bank to download the document for you. Alternatively, you may request a copy of the document from the Secretariat. If you make such a request, please confirm for us your current mailing address.

Sincerely,

Attachment: Project Document

Copy to: Country Operational Focal Point
GEF Agencies, STAP, Trustee



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 ²	Expected Outcomes	Expected Outputs	GEF Financing ¹		Co-Financing ¹		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
Total Project Costs				1,500,000		1,830,864		3,330,864

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

² 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%
Total Co-financing			1,830,864	100%

* 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
Total		3,330,864	3,330,864	150,000	5,650,000

D. GEF RESOURCES REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)¹

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

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

² 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	450,000
International consultants*	90.3	168,000	200,000	368,000
Total		368,000	450,000	818,000

* 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	72,500
International consultants*	6.9	12,800		12,800
Office facilities, equipment, vehicles and communications*		20,000	27,000	47,000
Travel*		14,000	32,000	46,000
Others** (Workshops, printing, M&E)		87,200	186,500	273,700
Total	41.3	150,000	302,000	452,000

* 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 addition3

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	
Total		100,000	

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 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

Key Impact Indicator	Baseline	Target (at Year 4)	Means of Verification	Sampling frequency
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 SO₂, NO_x CO₂ 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\$

Output	Baseline	Increment	Alternative
Outcome 1: 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
Outcome 2: 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
Outcome 3: Identification and assessment of contaminated land/sites	841,864	349,100	1,190,964
Outcome 4: Establishment of project management and project M&E mechanisms	302000	150,000	452,000
TOTAL	1,830,864	1,500,000	3,330,864

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:

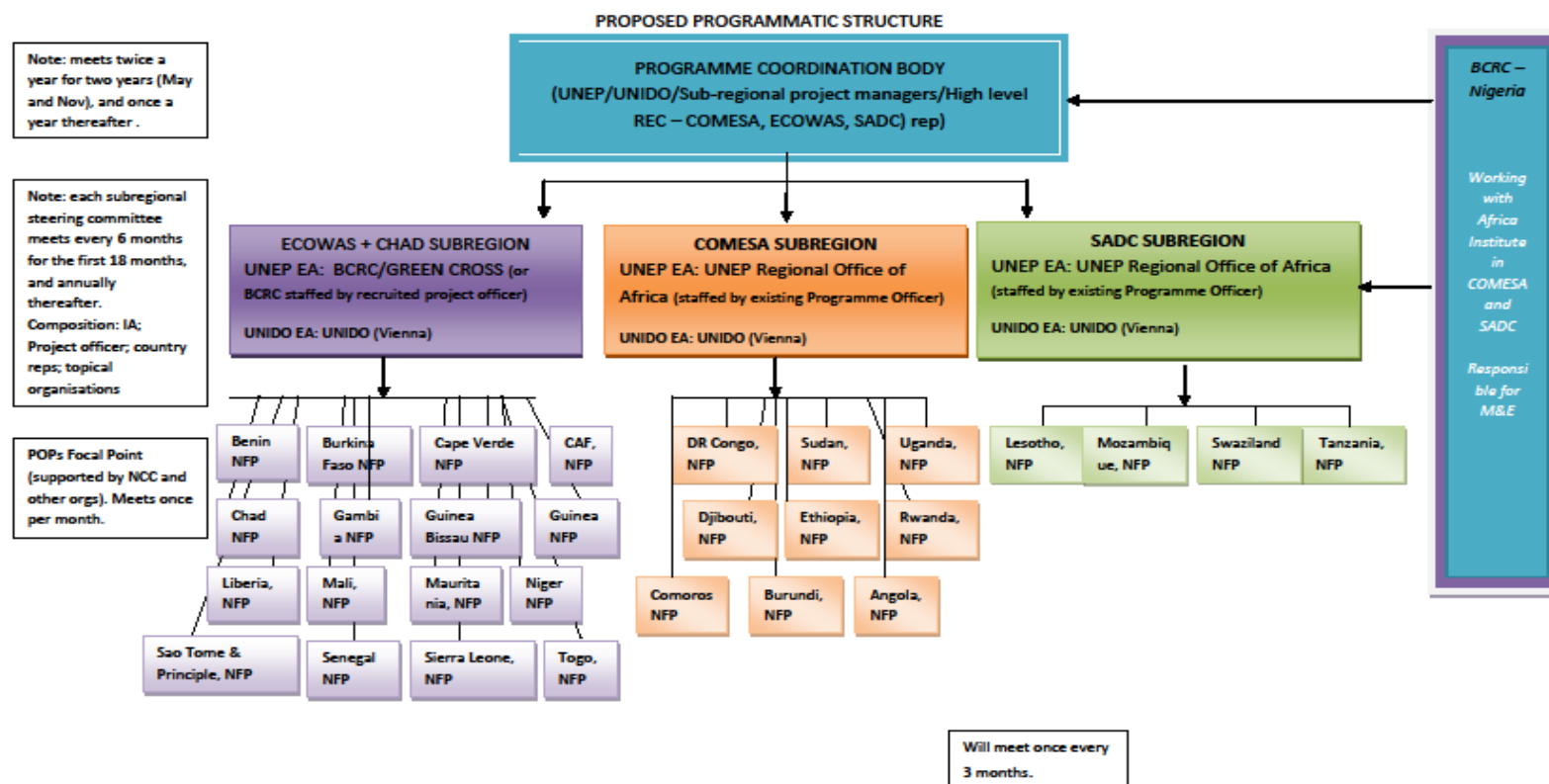
68. The proposed project is one of the three projects in three African sub-regions making up the capacity strengthening and technical assistance for the implementation of the Stockholm Convention NIPs in African LDCs and SIDs program. The programme is organized following the structure of the Regional 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
for 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
Outcome 1: Introduction of BAT/BEP in industrial production processes mentioned in Annex C of Article 5 of the Convention			
Output 1.1 : SADC Sub-regional BAT/BEP Forum established	➤ Regional Forum on BAT/BEP Forum in place	➤ Participants of the regional BAT/BEP Forum	➤ Willingness in the sub-region to establish the Forum
<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"> ➤ Verify the physical presence of the declaration ➤ Launching and existence of Regional Forum ➤ At least two industries per country in conformity with BAT/BEP in the region ➤ Memorandum of Understanding to develop partnership for the implementation of regional action plan 	<ul style="list-style-type: none"> ➤ Workshop proceeding and copy of Declaration ➤ Activity report on establishment of the Regional Forum ➤ Report on laboratory test ➤ Signed MoU for the implementation of regional action plan 	<ul style="list-style-type: none"> ➤ Willingness of experts to participate in the forum ➤ Resistance to develop partnership
Output 1.2: Human Resource for BAT/BEP developed, technical knowledge shared in SMEs and informal sector	➤ Number of experts per country per year trained in BAT/BEP	➤ Existence of experts in the sub-region knowledgeable with BAT/BEP	➤ Lack of budget to carry out training
<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"> ➤ At least two experts per country per year in BAT/BEP in textile sector trained on BAT/BEP ➤ At least two experts per country per year in the leather sector trained on BAT/BEP ➤ At least two experts per country per year trained in BAT/BEP in used oil refinery sector ➤ Network of the informal sector in each country for awareness on principles of BAT/BEP 	<ul style="list-style-type: none"> ➤ Check the existence of such experts in the factories ➤ Training and activity reports 	➤ Willingness to participate in the awareness campaign

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
Output 1.3: BAT/BEP in textile and leather dyeing and finishing and waste oil refinery source categories initiated	<ul style="list-style-type: none"> ➤ BAT/BEP introduced in two textiles, two tanneries and two oil refineries per country per year 	<ul style="list-style-type: none"> ➤ Detailed activity reports 	<ul style="list-style-type: none"> ➤ High cost involved in introducing BAT/BEP into the process ➤ Willingness of the part of the factories to introduce pilot projects
<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"> ➤ Availability of at least one pilot demonstration in the textile sector in the sub-region ➤ Availability of at least one pilot demonstration in the leather sector in the sub-region ➤ Availability of at least one pilot demonstration in waste oil refinery sector in the sub-region 	<ul style="list-style-type: none"> ➤ Visit pilot demonstration sites 	
Outcome 2: Reduction of exposure to POPs at workplace and close proximity of POPs wastes and UP-POPs emitting sources			
Output 2.1 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)	<ul style="list-style-type: none"> ➤ Integrate Solid Municipal Waste Management system in national plans in each of the participating countries 	<ul style="list-style-type: none"> ➤ Copy of national plans on waste management system 	<ul style="list-style-type: none"> ➤ 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 ➤ Resistance from the part of smallholder farmers to use bio-botanical pesticides
<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"> ➤ Minimum of two awareness raising workshops on solid municipal waste management organised for national and local decision makers per country ➤ At least one technical workshop held for waste management personnel at sub-regional level ➤ At least one sound municipal solid waste management option show case demonstrated 	<ul style="list-style-type: none"> ➤ Workshop materials and proceedings ➤ Reports on the ongoing demonstration activities on selected site ➤ Document on the Regional Programmes for training on sound waste management ➤ 	<ul style="list-style-type: none"> ➤ Willingness and commitment of decision makers to promote implementation of sound waste management measures ➤ Personnel involved in solid municipal waste aware of the challenge of meeting sound waste management criteria and

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"> ➤ Existence of regional programme on sound waste management ➤ Courses /modules related to waste management included in teaching programmes at school ➤ Participating countries implementing a sound health-care waste management system at pilot scale ➤ 	<ul style="list-style-type: none"> ➤ 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 ➤ Pilot scale to implement the innovative strategy 	<p>receives sufficient support from various waste management staffs to apply BAT/BEP in their daily job</p> <ul style="list-style-type: none"> ➤ Municipal waste management staff is stakeholder in the demonstration operation and is willing to integrate lessons learnt in the national waste management system ➤ Availability of qualified human resources to elaborate update and implement the training programme on a regular basis ➤ MoH has or elaborates a sound health-care waste management strategy and endeavours to implement ➤ Mechanism in place for consultation among various factors involved at the hospital's level ➤ Management and coordination capacity exists and is operational
<p><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></p>	<ul style="list-style-type: none"> ➤ At least two Micro- or small enterprises per country produce and market bio- botanical pesticides ➤ At least two informal waste recyclers per country are formalized to become Micro- or small enterprises 	<ul style="list-style-type: none"> ➤ Stores of bio- botanical pesticides providers ➤ Lack of resource to upgrade waste recycling of the informal sector to the formal sector 	<ul style="list-style-type: none"> ➤ 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

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, RENAP, 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"> ➤ At least one awareness workshops per country to be held for smallholder farmers on integrated pest management and use of bio-botanical pesticides ➤ Availability of database in each country ➤ Inventory reports on pesticide plants in each country ➤ Availability of solid or liquid botanical pesticide in the market ➤ At least two producers per country using and/or willing to use individually or in co-operatives the new natural bio-botanical pesticide formulations ➤ Research activities on field application of bio-pesticides for pest management ➤ Micro- or small enterprises producing and/or providing bio- pesticides 	<ul style="list-style-type: none"> ➤ Workshop reports ➤ Data base management report and Inventory reports ➤ Availability in the market ➤ Reports on field visits to enterprises producing bio-botanical pesticides ➤ Activity reports 	<ul style="list-style-type: none"> ➤ 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 ➤ Organic agriculture is seen by the various actors as an opportunity for business ➤ MoA promotes and supports integrated pest management in crop protection and post harvest management ➤ Smuggling of non-registered pesticides controlled ➤ Bio-botanical pesticides are economically affordable
<p><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></p>	<ul style="list-style-type: none"> ➤ At least two informal waste recyclers per country are formalized to become Micro- or small enterprises 	<ul style="list-style-type: none"> ➤ Site visits to informal waste recycling system 	<ul style="list-style-type: none"> ➤ Lack of resources to upgrade waste recycling of the informal sector ➤ o the formal sector
<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"> ➤ Validated national Inventory audit report ➤ Concept paper on existing plastic waste management options developed ➤ 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 ➤ Existence of national/sub-regional micro- or small enterprise recycling paper and e-waste in an ESM manner 	<ul style="list-style-type: none"> ➤ Inventory audit reports ➤ Stakeholders consultation reports ➤ Copy of Concept paper on plastic waste management ➤ Reports on site visit and field visit to the informal sector doing this activity ➤ Stakeholders consultation reports ➤ Inventory report 	<ul style="list-style-type: none"> ➤ 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. ➤

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"> ➤ Existence of such enterprises model in participating countries ➤ 	<ul style="list-style-type: none"> ➤ 	<ul style="list-style-type: none"> ➤ 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 ➤ 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 ➤
Outcome 3: Identification and assessment of contaminated sites			
Output 3.1: <i>Site identification strategies, protocols and guidelines formulated and applied in the Sub-region based on the UNIDO toolkit</i>	<ul style="list-style-type: none"> ➤ Existence of site identification strategies protocols and guidelines in each of the participating countries ➤ Soil and water analysis carried out to verify the effectiveness of the remediation technology at the pilot scale ➤ Existence of contaminated sites remediation plan in each country 	<ul style="list-style-type: none"> ➤ Remediation plan of the contaminated sites ➤ Report on the effectiveness of the demonstration pilot project ➤ Cost benefit analysis report on various remediation technology options ➤ 	<ul style="list-style-type: none"> ➤ Commitment of LDCs/SADC member states to clean up contaminated sites (hot spots) ➤ Least costly technologies may not always be efficient ➤ Willingness to host pilot demonstration project
<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	<ul style="list-style-type: none"> ➤ Physical presence of the strategy document ➤ Document that stipulate the step by step approach to select benign technology and cleanup of contaminated sites 	<ul style="list-style-type: none"> ➤ Letter of endorsement of the strategy and methodology documents by SADC member states 	<ul style="list-style-type: none"> ➤ Stakeholders involvement during the process of formulating the strategy

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"> ➤ Cost benefit analysis on the effectiveness and viability of various remediation technologies ➤ Soil and water quality analysis results of samples taken from the cleaned up sites to verify efficiency and cost effectiveness of the remediation technologies ➤ Physical presence of contaminated site plans for the identified hot spots 	<ul style="list-style-type: none"> ➤ Report on comparison of costs of various remediation technological options ➤ Soil and water quality analysis results of the samples taken from the cleaned up sites ➤ Analysis results from Central laboratories ➤ Institution responsible for the remediation of contaminated sites 	<ul style="list-style-type: none"> ➤ Stakeholders involvement during the process of formulating the methodology ➤ Resistance to use new technology on the part implementers ➤ Availability of reliable laboratory that can carry out the required analysis ➤ Availability of resources to implement those plans
<p><i>Output 3.2: Capacity to manage the contaminated sites strengthened</i></p>	<ul style="list-style-type: none"> ➤ At least 5 personnel trained in each participating country in the management and remediation of contaminated from each country ➤ 50 % of the population in each country that are aware of the danger of contaminated sites to human health and environment ➤ Number of experts and stakeholders that regularly uses the website and data base from each country 	<ul style="list-style-type: none"> ➤ Proceedings of various training and awareness raising workshops ➤ Feed back from the data base and web site users on contaminated sites ➤ Report on water and soil sample results from the reclaimed site 	<ul style="list-style-type: none"> ➤ Create the enabling environment to put in place strategy and identify contaminated site
<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"> ➤ Five experts trained with a capacity to manage POPs contaminated site in each participating country ➤ Participation of the private sector ➤ Suggestions and recommendations to remove barriers to market oriented operations ➤ 	<ul style="list-style-type: none"> ➤ Training materials and training reports on contaminated sites ➤ Reports on incentives, risks, reasonable rate of return and copy of strategy report ➤ Workshop reports ➤ Reports on pilot demonstration projects in relation with policy development, incentives and PPP ➤ 	<ul style="list-style-type: none"> ➤ Willingness of the Government to consider suggestions and recommendations by private investors on the strategy ➤ Willingness of stakeholders to participate in fund raising workshops

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"> ➤ Availability of fund for co-financing ➤ Number of workshops on fund raising ➤ Number of countries willing to replicate the pilot 	➤	➤

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 PROJECTS¹ 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 ²	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.

¹ Some questions here are to be answered only at PIF or CEO endorsement. Please do not answer if the field is blocked with gray.

² 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
			improve the measurability of the benefits and to provide, in the outcomes sections, indicative expected POPs reductions.	
	9. Is the project design sound, its framework consistent & sufficiently clear (in particular for the outputs)?	Yes	<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"> - the UNEP/WHO programme for identification and introduction of alternatives to DDT in vector control; - the WB/FAO African Stockpile programme; the West Africa PCB management project.	Yes in particular with: <ul style="list-style-type: none"> - the UNEP/WHO programme for identification and introduction of alternatives to DDT in vector control; - the WB/FAO African Stockpile programme; - UNEP/UNDP Partnership Initiative for the Integration of Sound Management of Chemicals into development planning process; - The UNEP/EC ACP-MEAs programme - The FAO currently being developed concept for a regional Pesticide Lifecycle Development in Africa; - The Basel Convention e-waste project; - FAO/Mozambique project on pesticides disposal and management 	
	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
	15. Does the project take into account potential major risks, including the consequences of climate change and includes sufficient risk mitigation measures?	Yes, well addressed. CC risks, appear negligible here.	<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:</p> <p>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.</p> <p>b) Contaminated sites: Risk of not leveraging funding for actual remediation. This risk could make the population unwilling to further work on this issue.</p> <p>UNIDO</p> <p>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?</p> <p>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.</p> <p>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.
Justification for GEF Grant	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 ³ 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.	
Secretariat's Response to various comments from:	STAP	None received.		
	Convention Secretariat	None received.		
	Agencies' response to GEFSEC comments			
	Agencies' response to Council comments			
Secretariat Decisions				
Recommendation at PIF	25. Is PIF/PFD clearance being recommended?	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.

³ 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"> - Clarify the list of participating countries - Endorsement letter from Swaziland; - UNIDO to clarify GEB based on BAT/BEP pilot activities concerning different sectors; - Issues related to the BAT/BEP regional forum; - Issues related to plastic. E-wastes and contaminated sites; - Payment of \$US 126,000 for economic instrument activities (UNEP) - Need to increase the co-financing (UNIDO) 		
Recommendation at CEO Endorsement	27. Is CEO Endorsement being recommended?			
Review Date	1 st review*		December 07, 2010	
	2 nd 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

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	5. Is PPG being recommended?	
Other comments		
Review Date	1 st review*	
	2 nd 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>
For Project Management			
Local			
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
International			
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:			
For Technical Assistance			
Local			
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
International			
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
Total		200,000	200,000			820,000

* 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.



REQUEST FOR CEO ENDORSEMENT/APPROVAL

PROJECT TYPE: Full-sized Project
THE GEF TRUST FUND

Submission Date: 12 January 2011

PART I: PROJECT INFORMATION

GEFSEC PROJECT ID: 3942

GEF AGENCY PROJECT ID: 518

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

PROJECT TITLE: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the SADC Sub region

GEF AGENCY(IES): UNEP

OTHER EXECUTING PARTNER(S): WWF -ESARPO

GEF FOCAL AREA(S): Persistent Organic Pollutants

GEF-4 STRATEGIC PROGRAM(S):

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 (LCDs)

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

A. PROJECT FRAMEWORK (Expand table as necessary)

Project Objective: The Objective of the project is to strengthen and build the capacity required in LDCs and SIDS in the SADC subregion to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals.								
Project Components	Indicate whether Investment, TA, or STA**	Expected outcomes	Expected Outputs	Indicative GEF Financing*		Indicative Co-financing*		Total (\$)
				(\$)	%	(\$)	%	
1. Legislative and regulatory framework development	STA and TA	1.1 Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.	1.1 Model comprehensive chemicals regulatory system, as well as national plans for regulatory system implemented.	390,000	72	148,333	28	538,333
		1.2 Model sector-specific regulations developed for incinerator operation, contaminated sites, and biopesticides thereby enabling sectors to comply with the Stockholm Convention.	1.2 Two countries have used model regulations to develop sector-specific regulations.					
2. Sustainable enforcement and administrative capacity	TA	2.1 Skilled trainers in each participating country on the obligations of the Stockholm Convention and relationship to chemicals and wastes conventions.	2.1 10 provincial level staff trained in each participating country. Two "trainers" trained in each participating country.	600,000	40	890,000	60	1,490,000
	TA	2.2 Training for environment and legal drafting staff in the use of economic instruments for chemicals and wastes.	2.2. 1 environment and 1 legal staff member trained in the use of economic instruments per county.					
	TA	2.3 Training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions leads increased support for implementation and active and enforcement of the convention by these sectors	2.3. Three judges and 2 MOF staff trained per participating country and training materials made available. Tool kit developed, and judiciary and Ministry of Finance staff trained on the Stockholm and other chemicals conventions.					
	STA and TA	2.4 Network and database of subregional laboratories instituted.	2.4. Comprehensive, accurate and accessible database and network on laboratories exists and is used by countries to identify options for sample analysis.					
3. Coordinated information dissemination and awareness raising	TA	3.1 Revitalize the Chemical Information Exchange Network (CIEN) as a knowledge management system.	3.1 Platform reactivated as an appreciated knowledge management system and actively utilized by participating countries.	240,000	39	380,184	61	620,184
	TA	3.2 Communication strategy developed (or updated in the case of Tanzania) in each participating country.	3.2 Training in the development of communication strategies for POPs					
	TA	3.3 POPs education materials (including on 9 new POPs) developed, and pilot community training, working with local NGOs and focusing on vulnerable communities undertaken.	3.3 Two pilot communities trained in each participating country.					

	TA	3.4 SADC countries make a declaration committing to be able implement the Stockholm Convention, and that if required resources will be made available	3.4. Bring high-level representatives to SADC forum, to increase high level awareness on the Stockholm Convention.					
4. Project management				150,000	23	500,000	77	650,000
5. Monitoring and Evaluation				120,000	100	0	0	120,000
Total project costs				1,500,000		1,918,517		3,418,517

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

² 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>Amount \$</i>	<i>%*</i>
ACP-MEAs	Multilateral Agency	Cash	18,333	0.95
UNEP Regional Office for Africa	Multilateral Agency	Cash	300,000	15.63
WWF	NGO	Cash	12,500	0.65
Countries	National Governments	In-kind and cash	500,000	26
Stockholm Convention Secretariat	Multilateral Agency	Cash	166,667	8.68
UNEP Chemicals/Kemi	Multilateral Agency	Cash	254,350	13.25
SAICM Secretariat	Multilateral Agency	Cash	666,667	34.74
Total Co-financing			1,918,517	100%

*

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

** Amount not yet secured at CEO endorsement

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 10%</i>	<i>For comparison: GEF and Co-financing at PIF</i>
GEF financing	60,000	1,500,000	1,560,000	150,000	1,650,000
Co-financing		1,918,517	1,918,517		1,450,000
Total		3,418,517	3,478,517	150,000	3,100,000

D. GEF RESOURCES REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)¹

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

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

² 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 (\$) cash & kind</i>	<i>Project total (\$)</i>
Local consultants*	85	80,000	28,333	108,333
International consultants*	66	172,000	10,000	182,000
Total	151	252,000	38,333	290,333

* Details to be provided in Annex C.

F. PROJECT MANAGEMENT BUDGET/COST

<i>Cost Items</i>	<i>Total Estimated person weeks</i>	<i>GEF amount (\$)</i>	<i>Co-financing (\$)</i>	<i>Project total (\$)</i>
Local consultants*	128.6	45,000	0	45,000
International consultants*	57.7	75,000	300,000	375,000
Office facilities, equipment, vehicles and communications*			100,000	100,000
Travel*		30,000	100,000	130,000
Others**			0	0
Total	186.3	150,000	500,000	650,000

* Details to be provided in Annex C. ** Maintenance of computers and office equipment, reporting costs included in office facilities

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:

The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8 of the project document. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.

The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 of the project document includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks included in Appendix 6 of the project document will be the main tools for assessing project implementation progress and whether project results are being achieved. M&E related costs are presented in the Costed M&E Plan (Appendix 7 of the project document) and are fully integrated in the overall project budget.

The M&E plan will be reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may also be fine-tuned at the inception workshop. Day-to-day project monitoring is the responsibility of the project management team but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Coordinator to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.

The Project Steering Committee will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure that the project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP-GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications. Project supervision will take an adaptive management approach.

The Basel Convention Regional Coordinating Centre for Africa (BCRCC) which is based in Ibadan Nigeria will be responsible for project monitoring and evaluation. The BCRCC coordinates the three Basel centres in Africa and has requested to be designated a Stockholm Convention Centre for the Africa region. The BCRCC will develop a project monitoring plan at the inception of the project which will be communicated to the project partners during the inception workshop. The emphasis of the BCRCC monitoring will be on outcome monitoring without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Steering Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Risk assessment and rating is an integral part of the annual Project Implementation Review (PIR), mandatory for all larger GEF projects. The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.

A mid-term review or evaluation will take place on the 30th month of the project work plan as indicated in the project milestones. The review will include all parameters recommended by the GEF Evaluation Office for terminal evaluations and will verify information gathered through the GEF tracking tools (once available), as relevant. The review will be carried out using a participatory approach whereby parties that may benefit or be affected by the project will be consulted. Such parties were identified during the stakeholder analysis (see section 2.5 of the project document). The Project Steering Committee will participate in the mid-term review and develop a management response to the evaluation recommendations along with an implementation plan. It is the responsibility of the UNEP Task Manager to monitor whether the agreed recommendations are being implemented.

An independent Terminal Evaluation will take place at the end of project implementation. The Evaluation and Oversight Unit (EOU) of UNEP will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by EOU and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation. The standard terms of reference for the Terminal Evaluation are included in Appendix 9 of the project document. These will be adjusted to the special needs of the project.

The GEF tracking tools for POPs are not yet available. Once they become available, they will be updated at mid-term and at the end of the project and will be made available to the GEF Secretariat along with the project PIR report. As mentioned above the Mid-Term Review and Terminal Evaluation will verify the information of the tracking tool.

PART II: PROJECT JUSTIFICATION:

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

The evidence from on-going dialogue with countries in the region is that countries are facing difficulties and barriers in shifting from NIP development to preparing and financing projects and programs in support Stockholm Convention implementation. This Post-NIP program is a GEF/UNIDO/UNEP initiative to enhance and sustain the implementation of the Stockholm Convention in the LDCs and SIDS in the SADC sub region. The sub regional consultations undertaken during the project design process pointed to the need for a concerted effort to increase capacity to manage POPs and chemicals soundly at all levels of government - national and provincial, and in the wider community. Country representatives also highlighted their wish to work together on a sub regional basis in order to learn from each other, work together and share experiences. As such project activities have been designed to encompass the sub regional political sphere, national government, provincial government and community levels.

The project will strengthen and build the capacity required in LDCs and SIDS in the SADC sub region to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals.

The Goal of the project is to improve the management of chemicals in LDCs and SIDS in the SADC sub region through assistance in the development of legislative and regulatory frameworks, training in improved enforcement and administrative capacity and the provision of a platform and materials for information exchange and dissemination.

The Objective of the project is to strengthen and build the capacity required in LDCs and SIDS in the SADC sub region to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals.

The specific objectives are to:

- Improve legal and regulatory frameworks;
- Improve sustainable enforcement and administrative capacity; and
- Institute a coordinated dissemination and awareness raising system on a national and regional level that is linked to global scale lessons learned dissemination channels.

The key outcomes given in the project document for these stated objectives are:

- Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.
- Model sector-specific regulations developed for incinerator operation, contaminated sites, and biopesticides thereby enabling sectors to comply with the Stockholm Convention.
- Train-the-trainer for national level environment staff, provincial level environmental staff, and private sector stakeholders, on the Stockholm Convention and hazardous wastes creates a cadre of trained personnel able to train others on the Stockholm convention.
- Training in use for economic instruments for environment and legal drafting staff enhances their ability to use these instruments to develop national enforcement measures.
- Training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions leads increased support for implementation and active and enforcement of the convention by these sectors.
- CIEN Platform reactivated as a knowledge management system and actively utilized by participating countries.
- Communication strategy developed (or updated in the case of Tanzania) in each participating country.
- Development of POPs education materials (including on 9 new POPs), and pilot community training, working with local NGOs and focusing on vulnerable communities leads to increased awareness of communities on the dangers posed by POPs
- SADC countries make a declaration committing to implement the Stockholm Convention, and, if required, to make resources available.

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

The project was developed through a very consultative process. Meetings and workshops bringing together participating countries from the sub region as well as meetings and discussions with sub regional organisations, civil society organisations, professional and academic institutions and industry were conducted to determine the priority needs and that should be addressed within the project. An assessment of countries' needs with regard to capacity building was undertaken.

Through the consultations, it was found that each of the participating countries has ratified the Stockholm Convention and completed its National Implementation Plan. Countries are at various stages of policy development, but are all facing constraints and requesting assistance. The following is a summary of the current situation in the selected countries with regard to NIP development and implementation of obligations under the Stockholm Convention.

Summary of NIP Priorities and Implementation Status in Participating Countries

- The National Profile for Angola mentions capacity building in chemicals management as an area needing attention as well as information exchange and awareness raising concerning hazards of chemicals. Support to scientific centres (for analytical purposes, etc.) is required. The internal administration and statistics of chemicals import, use, etc. of the needs urgent attention. The NIP for Angola is in development.
- The POPs policy in Tanzania is evolving. The Tanzanian Government has put in place a policy and regulatory regime for POPs management, and is currently developing regulations on POPs, and guidelines on contaminated sites. A comprehensive chemicals regulatory framework is required to bring these efforts together and was the key priority listed in Tanzania's NIP.
- Lesotho completed its NIP in 2005. According to the NIP there is no regulatory framework addressing POPs or other chemicals. Priorities in the NIP included the development of a framework and legal instruments for effective management of POPs and persistent toxic substances and to amend the Environment Act to include POPs.
- There is no structured legislative and regulatory framework for chemicals management in Swaziland. Swaziland proposed the following activities for the management of POPs in their NIP: promulgating a chemicals management bill that will cover all POPs issues; and incorporating POPs issues into relevant existing regulations.
- The NIP development in Mozambique was completed in 2008. There are two main priorities identified in NIP regarding legislative and regulatory frameworks: strengthened POPs coordination on management of POPs and other chemical pollutants by 2009; and adequate policies, legislation and institutional capacity for effective NIP implementation developed on POPs management by 2012.

As indicated above, LDCs in the SADC region are at various stages in the development of effective legal frameworks and enforcement mechanisms for POPs. All require assistance in the development of new regulations, or the revision of existing instruments. In addition, those countries with some form of regulatory framework are requesting assistance with increasing enforcement capacity. Those countries without existing regulation require assistance with sensitization to the issue of POPs. Countries also acknowledge the important role of provincial level governments in managing POPs and therefore the need to increase the capacity of these personnel through training.

C. DESCRIBE THE CONSISTENCY OF THE PROJECT WITH [GEF STRATEGIES](#) AND STRATEGIC PROGRAMS:

The GEF Operational Programme 14 on POPs provides for three types of activities that are eligible for GEF funding on the basis of incremental costs, noting that assistance for these activities focus primarily on the national level, and also, on a lesser extent, on regional and global activities. The present project would fit fully under one of the activities eligible for GEF funding, namely, capacity building.

The project is in essence a capacity building project. Each project component is designed to build capacity for future implementation of Stockholm convention and to address bottlenecks to this implementation that have been identified by the countries themselves. The project will develop and/or strengthen the capacity of LDCs and SIDS in SADC to improve management of POPs at the national level, while providing the opportunity for countries to share experiences and learn from each other on a regional level. The project will:

Provide a comprehensive model chemicals regulatory framework as well as assistance to countries to improve regulatory frameworks at the national level;

Improve sustainable enforcement and administrative capacity of participating countries by providing train-the trainer courses in the Stockholm Convention for national and provincial level environment staff, as well as specialized training for the judiciary; and

Institute a coordinated dissemination and awareness raising system on a national and regional level that will be linked to global scale lessons learned dissemination channels.

These actions are consistent with Strategic Programme 1 of the POPs focal area.

D. JUSTIFY THE TYPE OF FINANCING SUPPORT PROVIDED THROUGH THE GEF RESOURCES.

Countries are facing difficulties and barriers in shifting from NIP development to preparing and financing projects and programs in support Stockholm Convention implementation. This project aims to enhance and sustain the implementation of the Stockholm Convention in participating countries from the SDAC sub region. The sub regional consultations undertaken during the project design process pointed to the need for a concerted effort to increase capacity to manage POPs and chemicals soundly at all levels of government - national and provincial, and in the wider community. Country representatives also highlighted their wish to work together on a sub regional basis in order to learn from each other, work together and share experiences. Little financing is currently available for these activities within the countries. GEF funding will help remove bottlenecks that have been identified, paving the way for smoother implementation of the Stockholm Convention in participating countries after the project period.

Without this GEF-assisted project, countries are likely to continue their “business as usual” which means few activities to improve legislation and regulation, and enforcement capacity. The alternative approach presented by this project seeks to build capacity and harmonize national efforts at a regional level, while bringing together relevant stakeholders to ensure coordinated and cohesive implementation of activities.

The project provides for local benefits in terms of reduced risks to human and ecosystem health through education and awareness activities with vulnerable communities and for global benefits in terms of improving regulatory frameworks and subsequent enforcement capacity to ensure POPs are managed in a way that reduces the global POPs burden.

E. OUTLINE THE COORDINATION WITH OTHER RELATED INITIATIVES:

During the project design phase, UNEP explored existing projects (GEF and non GEF interventions) in participating LDCs and SIDS of the SADC subregion in order to learn from their experiences and not duplicate efforts. During the project design phase, key actors were consulted including POPs Focal Points, the SADC Secretariat, UNEP staff implementing related projects, the Basel Convention Regional Coordinating Centre in Nigeria, the South-Africa based Africa Institute and NGOs. The following paragraphs describe linkages with relevant regional, sub regional and national activities.

The Africa Stockpiles Programme (ASP) is addressing the issue of disposal of obsolete stockpiles in African countries. The present project activities dealing with stocks will be fully coordinated with the work of the ASP,⁸

which is implemented by the World Bank, FAO, CLI, PAN and WWF. The ASP aims to: clean up obsolete pesticides; prevent pesticide accumulation; and build capacity for pesticide management. Of the countries included in the UNEP –UNIDO POPs project, only Tanzania has participated in the ASP. According to recent ASP reports progress on the ground includes the development of an inventory which revealed 650 tons of obsolete pesticides and 600 tons of left-over sulfur, which the Tanzania Government wishes to dispose of.

UNEP Chemicals Branch has been working on guidance on legal and institutional infrastructure for sound management of chemicals, and on economic instruments for financing sound management of chemicals since March 2009. The UNEP-KemI Project on “Development of Legal and Institutional Infrastructures for the Sound Management of Chemicals in Developing Countries and Countries with Economy in Transition” introduced the main elements to be considered for developing comprehensive and efficient legal frameworks for managing the introduction of chemicals into the market for use, along with possible institutional arrangements for effective implementation and enforcement. With the support of the Norwegian Government, UNEP has also generated a draft guidance document for policymakers on the use of these economic policy measures for achieving Sound Management of Chemicals (SMC), with a focus on cost recovery options for financing legal and institutional infrastructure for SMC. UNEP Chemicals is in the process of merging these two projects into an integrated guidance document that will comprise of three sections: managing the introduction of chemicals into the market for use; managing chemicals at other steps of their life-cycle; and innovative approaches to chemicals management. It is envisaged that the integrated guidance produced by UNEP Chemicals will form a significant component of the comprehensive legislative framework model requested by SADC countries. Similarly, the work completed by UNEP Chemicals on economic instruments will be used to support the training on economic instruments which is one of the activities that fall under Component 2 of the project. With the support of UNEP Chemicals field testing of the economic instrument guidance may also be carried out.

The UNDP-UNEP Partnership Initiative for the Integration of Sound Management of Chemicals into Development Planning Processes, builds on previous mainstreaming experience to establish the links between the sound management of chemicals and development priorities of the country. The process is characterized by a multi-stakeholder dialogue – particularly appropriate for chemicals management given its cross-sectoral dimensions – the need to reduce the fragmentation of information, to develop integrated solutions, and to improve implementation of chemicals management policies. While there is no duplication between countries involved in the UNDP-UNEP Partnership and this project, efforts will be made to utilize resources developed by the UNDP-UNEP Partnership.

In accordance with Paragraph 28 of the SAICM Overarching Policy Strategy which mandates the provision of “information clearing-house services such as the provision of advice to countries on implementation of the Strategic Approach, referral of requests for information and expertise in support of specific national actions” and, supported by the Government of Germany, the SAICM Information Clearinghouse was launched in May 2010. The SAICM clearinghouse website has incorporated the data archive and much of the functionality of the Information Exchange Network on Capacity-building for the Sound Management of Chemicals (INFOCAP). Under this project the SAICM Information Clearinghouse will provide links to the CIEN. Also, if the CIEN cannot be revitalized it is possible the Information Clearinghouse could house, or link to the knowledge management component of this project, and associated programme.

The African Caribbean Pacific - Multilateral Environment Agreements (ACP-MEAs) Programme is being implemented by UNEP in cooperation with the European Commission (EC) and several other partners to enhance the capacity of African, Caribbean, and Pacific (ACP) countries to implement MEAs. The African Hub is hosted by the African Union Commission (AUC) in Addis Ababa, Ethiopia, and provides technical assistance, training and policy and advisory support services. The comprehensive four-year project has a total budget of 21 million Euros. Due to the potential duplication of efforts of the two programmes, consultations were undertaken with the AUC on the ACP-MEAs planned activities. It is understood that AUC plans to undertake training of the judiciary in Anglophone and Francophone countries, as well as training of MEA focal points on effective dissemination of information on MEAs and MEA implementation strategies. Both activities fit with the planned activities of this project and therefore activities under the ACP-MEAs activities and this project will be harmonized to avoid duplication and to make the most of limited available funds. As such activities will be undertaken in a coordinated

manner and will be executed in collaboration by the two programmes.

A concept for a regional Pesticide Lifecycle Development in Africa project is currently being developed by FAO, UNEP and WHO. The project may include activities on pesticide legislation, regulation and registration. This project is likely to include some of the SADC LDCs, as well as non-LDCs from SADC and other regions. The FAO, UNEP and WHO project may provide the opportunity to share lessons learned from this project and to scale up and replicate outcomes. In addition proponents are considering activities related to laboratory capacity. As such the FAO, UNEP and WHO activity is likely to make use of the laboratory network and equipment database produced under this activity.

The e-waste Africa project, is being implemented in the framework the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, and is a comprehensive programme of activities aiming at enhancing environmental governance of e-wastes and at creating favorable social and economic conditions for partnerships and small businesses in the recycling sector in Africa. The primary objective of the project is to build local capacity to address the flow of e-wastes and electrical and electronic products destined for reuse in selected African countries; and augment the sustainable management of resources through the recovery of materials in e-wastes. While there is no direct relationship between the e-waste activity and the activities planned under this project, they are complimentary in that both build much needed capacity in areas of hazardous materials.

WWF has developed a training program on the development of pesticide and obsolete pesticide management communication strategies and it is planned that this will be extended to all POPs. WWF has also developed informational products on proper pesticide handling and management including booklets and short videos. These will be redeveloped and made available to the project. WWF has been working with private sector, agricultural produce associations and academia on pesticide management issues. Synergies will be made with these ongoing initiatives. In addition WWF is planning work with regional economic commissions in Africa including SADC on environmental policy. There are potential duplications with this work and as such WWF has agreed to work together with this project to execute activities in the SADC region.

In a relevant national level activity, Lesotho and Swaziland received SAICM funds for updating their national chemical profile and developing an integrated programme for the sound management of chemicals respectively. Efforts will be made to avoid duplication of activities undertaken under these national initiatives, and to share any relevant lessons learned from these activities with other participating countries.

Mozambique is currently working with the FAO on the development of a GEF funded national level activity. The objective of the activity is the detailed characterization, excavation and environmentally sound disposal of buried pesticides stocks and associated wastes and, the development of local disposal options for treatment of low level contaminated soils and contaminated pesticide containers. Related to legislation and regulatory frameworks, the activity plans to revise environment legislation and regulations related to permitting of waste treatment facilities and the operation of such facilities. The activity is seen as complimentary to the activities planned under the SADC LDCs and SIDS Capacity Building Project. It is envisaged that the legislation and regulations developed under the Mozambique activity can be shared with neighboring countries via the knowledge management CIEN.

PELUM Association works in eastern, southern and central Africa to improve the livelihoods of small-scale farmers and rural communities, including Rwanda. PELUM Association facilitates learning and networking, participatory research, capacity building information sifting and dissemination as well as lobbying and advocacy. The programme will collaborate with PELUM and/or other similar networks that work closely with small holder farmers in the region.

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

While countries of the Region are committed and strive to attain sustainable development, and have completed their NIPs, implementing NIPs and meeting the provisions of the convention remain a challenge. This is mainly due to insufficient legislative and regulatory frameworks, and associated enforcement capacity, across all levels of government. The broad developmental objective of the project is to strengthen and build the capacity required in LDCs and SIDS of the SADC Africa sub region to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while contributing to strengthening countries' foundational¹⁰

capacities for sound chemicals management. This will be achieved through assistance with developing comprehensive legislative and regulatory frameworks for chemicals management, providing training to all levels of government on the Stockholm Convention, its provisions and methods of enforcement, and by putting in place a knowledge management system to allow countries to exchange information and knowledge.

The overriding concern of participating countries is to execute the action plans elaborated in their individual NIPs. Although, all but one participating country has completed its NIP, implementation is yet to be initiated. Under baseline conditions, activities relating to Stockholm Convention implementation are extremely limited. As such assistance from GEF is required to re-initiate momentum generated during NIPs and build sustainable capacity among NFPs to continue activities beyond the life of the project.

In the long run the activities contained in the present GEF project brief will benefit the global community by increasing the knowledge, skills and experiences in participating countries on managing POPs. This trained cadre of individuals will contribute to the decrease of releases of POPs to the environment and reduce illegal POPs traffic. The current project will be implemented on a sub regional basis thereby providing the opportunity for peer to peer learning and south-south cooperation. The sub regional approach is expected to result in a network of trained professionals across the sub region, capable of working together to manage POPs. Outcomes of the pilot activities being undertaken in this project will also provide sufficient evidence for replicability in other regions. The potential for replication is enhanced by the knowledge management system which is expected to enhance dissemination of information on project activities and lessons learned.

Clearly, capacity building for the management of POPs and the implementation of NIPs has features of incrementality in providing global benefits while at the same time giving rise to significant domestic benefits (including reduced health risks for local vulnerable populations, and enhanced skills of environment staff at national and provincial level). It is therefore appropriate for government co-financing to be targeted on these aspects of capacity building as proposed under this project.

Baseline expenditures were estimated at US\$25,000 while the alternative has been US\$3,418,517. The incremental cost of the project US\$3,393,517 is required to achieve the project's global environmental benefit of which the amount US\$1,500,000 is requested from GEF. This amounts to 44% of the total incremental cost. The remaining amount US\$1,919,517 or 56% of the total project costs will be provided by co-financing by the participating countries, and other partners, including the Stockholm and SAICM Secretariat's, UNEP Chemicals, and the UNEP Regional Office for Africa. Incremental costs are outlined in more detail in Appendix 3 of the Project Document.

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

Under Component 1 - Legislative and regulatory framework development, due to the strong political element to the sanctioning of new regulations in countries, there is a risk that participating countries lack the appetite for establishing a comprehensive regulatory framework. On the more practical level, legislative drafting takes time and participating countries have very few legal drafters on staff. Therefore the project aims to provide assistance to participating countries by providing a model comprehensive framework, and in drafting amended and new regulations in line with this model. Such an approach negates the need for drafting legislation from scratch and instead allows participating countries to adapt the models available, to their own legislative situation. In addition, provision has been made in the project for development of national level chemical legislative plans to allow countries to consider and prioritize their legislative needs. Risks associated with Component 1 activities will also be mitigated by high level awareness raising activities being undertaken in partnership with SADC under Component 3 to increase high level understanding and political support for the implementation of the Stockholm Convention in the sub region.

Under Component 2 - Sustainable enforcement and administrative capacity, there is an assumption that provincial level staff, the private sector and other stakeholders, who currently have a low awareness of the Convention, understand the need to increase their awareness on chemicals management. To ensure this is the case, sensitization will need to be undertaken by POPs National Focal Points (NFPs). Sensitization activities will be undertaken in the first assistance through the National Coordinating Committees (NCCs), convened by NFPs. These Committees are envisaged as an extension of the work of NIP NCCs and will include members from

various ministries, industry, and other stakeholders. Information and consultation on project activities will occur through this group. The risk that appropriate trainers cannot be identified, will be mitigated by focusing on POPs NFPs, all of whom have participated in numerous workshops convened by the Stockholm Convention Secretariat and possess a strong knowledge base. Additional trainers will be sought from relevant ministries including health and agriculture, to ensure further reach of trainers conducting training at the provincial level. Nominated “trainers” from agricultural and health ministries, will ensure provincial agricultural and health staff will also benefit from training opportunities.

Under Component 3 - coordinated information dissemination and awareness raising, risks associated with the CIEN revitalization have been discussed with UNEP Chemicals, and discussions indicate it possible to revitalize CIEN and that UNEP Chemicals are already working on such revitalization for the Latin American and Caribbean region. In addition several other projects are planning on rebuilding and revitalizing parts of CIEN, meaning there is an agency-wide effort to reinvigorate this tool. To ensure the CIEN is taken up on the national as well subregional level, provision has been made for training of both national webmasters and NFPs in the development of national websites for information exchange. The project will work closely with UNEP CIEN staff to execute this activity, and use experienced UNEP CIEN regionally-based consultants to undertake the training. Regarding the need to accurately identify vulnerable communities in participating countries, discussions with country representatives indicate most countries have identified potentially vulnerable communities. In addition governments noted they have strong links with civil society organizations which may be receptive to community training. To ensure vulnerable communities are reached, this activity will be executed in consultation with the civil society organisation that work closely with grassroots organizations. Regarding the political commitment of high-level representatives this has been agreed in principle by POPs national focal points on behalf of governments and discussions have been held with SADC. SADC has agreed to facilitate these activities, evidenced by the co-finance commitment letter included as Appendix 12. An MOU will be agreed with SADC at project inception. SADC has a small environment department, but has not previously dealt with chemicals issues. As such, SADC will benefit from programmatic links with ECOWAS who are more experienced in consulting their constituencies on chemicals. In addition, to ensure the project is not constrained by lack of capacity at SADC, UNEP and WWF will provide extensive support to SADC staff to ensure SADC’s capacity to act as an efficient forum for raising the political commitment of high-level representatives.

There is also a general risk that this activity will be treated by participating countries as a discrete project, as opposed to an opportunity to build capacity in managing POPs and mainstreaming the obligations of the Stockholm Convention into national activities. This occurred with the NIP enabling activities. In order to mitigate this risk activities have been built into the project to empower POPs NFPs to continue POPs related activities once the project has completed. In this project NFPs will have certain responsibilities related to coordinating project activities, as well as opportunities to improve technical skills. Through sub regional activities NFPs will also have the opportunity to network with each other. This includes train the trainer activities, where POPs NFPs will become certified trainers and have an obligation to train a cadre of provincial level staff annually. This approach will enhance the technical capability of NFPs, and is designed to improve the confidence of NFPs.

In the case that it is not technically, or politically possible to revitalize the CIEN, an alternative knowledge management system will be created for the programme. This system would then be linked to the SAICM Information Clearinghouse to ensure it was linked to other activities on chemicals management.

H. CONSISTENCY WITH NATIONAL PRIORITIES OR PLANS

Consistency of this project with national priorities and plans are already discussed in section B.

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

This project is sub regional in nature to ensure cost-effectiveness in capacity-building and training activities. While activities are planned at the national level, where possible regional level activities and workshops are planned to ensure cost-effectiveness and to allow for peer-to-peer learning.

This project forms one third of a regional programme. The two other projects are located in eastern Africa (COMESA) and western Africa (ECOWAS). To increase cost-effectiveness, activities that are common to each of the programmatic sub region will share materials developed. Therefore international consultant costs have been kept to a minimum.

PART III: INSTITUTIONAL COORDINATION AND SUPPORT

• INSTITUTIONAL ARRANGEMENT:

UNEP will be the GEF Implementing Agency. WWF- The global conservation organization will be the executing agency.

B. PROJECT IMPLEMENTATION ARRANGEMENT:

This project, focusing on LDCs in the SADC sub region is part of a larger programme being jointly implemented by UNEP and UNIDO. The program will have eight main elements the implementation of which will be shared between UNEP and UNIDO as follows:

- Legislative and regulatory framework (UNEP Lead);
- Administrative and enforcement capacity (UNEP);
- BAT and BEP strategies (UNIDO);
- Integrated waste management (UNIDO);
- Reduced exposure to POPs (UNIDO);
- Site Identification Strategy (UNIDO);
- Dissemination and sharing of experiences (UNEP); and,
- Programme coordination and management (UNEP/UNIDO).

The project will be implemented on a sub regional basis with separate though similar projects being implemented in three sub regions namely: SADC, COMESA and ECOWAS. This approach will make use of existing networks and allow south-south cooperation. The following paragraphs describe the institutional framework for the overall program, followed by specific implementation arrangements for this project.

The programmatic structure includes a program coordination body (PCB), comprising representatives from UNEP, UNIDO, executing agencies, regional economic commissions and the Basel Convention Regional Coordinating Centre (BCRCC). 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.

Sub regional steering committees are responsible for project execution. Steering Committees include representatives from UNEP, UNIDO, executing agency staff, pops NFPs, the BCRCC and topical organizations relating to project execution. Sub regional steering committees approve annual workplans, agree terms of reference for external consultants and oversee project activities. The steering committee provides 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 logframes and work plans will be reviewed and finalized.


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 of ongoing activities.

WWF will be responsible for project execution. The BCRCC Nigeria is responsible for programme monitoring and evaluation. The monitoring and evaluation plan is outlined in section 6.

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

The project design is in-line with the original PIF.

PART V: AGENCY(IES) CERTIFICATION

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Maryam Niamir-Fuller, Director, UNEP Division of GEF Coordination (DGEF)		28/09/2010	Jan Betlem, Task manager, UNEP-GEF	+254- 762-4607	Jan.betlem@unep.org

ANNEX A: PROJECT RESULTS FRAMEWORK

Project Logical Framework and Objectively Verifiable Impact Indicators

Project Logical Framework and Objectively Verifiable Impact Indicators

Project Objective Strengthen and/or build the capacity required in LDCs in SADC Africa subregion to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner , while building upon and contributing to strengthening country's foundational capacities for sound management of chemicals .					
Outcome	Baseline	Target	Objectively Verifiable Impact Indicators	Sources of Verification	Risks and Assumptions
Component 1 Legislative and regulatory framework in place					
1. Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.	1. No country in the SADC subregion has comprehensive regulatory system in place for chemicals. (Several countries have sectoral regulations requiring revision to take account of the requirements of the Stockholm Convention. Framework legislation is also required).	1. 2 countries have work plans for comprehensive regulatory framework developed.	- Work plans	1. Review of work plans.	Countries have appetite for developing comprehensive regulatory system.
2. Model sector-specific regulations developed for incinerator operation, contaminated sites, and biopesticides thereby enabling sectors to comply with the Stockholm Convention.	2. Absence of regulations for incinerator operation, contaminated sites, and biopesticides in SADC region.	2.1 2 countries have developed and drafted chemicals regulation. 2. 2 countries have used model regulations to develop sector-specific regulations.	No. of draft chemicals and sector regulations developed	2. Review of draft regulations.	
Component 2 Sustainable enforcement and administrative capacity established, and enforcement of Stockholm Convention provisions undertaken.					

<p>1. Train-the-trainer for national level environment staff, provincial level environmental staff, and private sector stakeholders, on the Stockholm Convention and hazardous wastes creates a cadre of trained personnel able to train others on the Stockholm convention.</p> <p>2. Training in use for economic instruments for environment and legal drafting staff enhances their ability to use these instruments to develop national enforcement measures.</p> <p>3. Training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions leads increased support for implementation and active and enforcement of the convention by these sectors</p> <p>4. Comprehensive, accurate and accessible database and network on laboratories exists and is used by countries to identify options for sample analysis.</p>	<p>1. No provincial level staff have been trained on the obligations of the Stockholm Convention in SADC subregion.</p> <p>2. Lack of awareness of how to use economic instruments for enforcement in SADC region.</p> <p>3. No Stockholm Convention training materials, specifically targeting the judiciary, or Ministry of Finance, currently available.</p> <p>4. No comprehensive, accurate and accessible database exists on laboratories in the subregion.</p>	<p>1. 5 provincial level staff trained in each participating country. Two “trainers” trained in each participating country.</p> <p>2. 1 environment and 1 legal staff member trained in the use of economic instruments per county.</p> <p>3. Three judges and 2 MOF staff trained per participating country.</p> <p>Tool kit developed, and judiciary and Ministry of Finance staff trained on the Stockholm and other chemicals conventions.</p> <p>4. Network and database of subregional laboratories, including information on equipment, staff capability, and analytical capability, developed.</p>	<p>- Training records - Number of trained officials - Number of trained trainers -Number and types and toolkits developed</p> <p>- Database on laboratories - Availability/Accessibility of the database</p>	<p>1. Training records 2. Toolkits</p> <p>3. Training records and tool-kit.</p> <p>4. Subregional laboratory network available online (on Chemical Information Exchange Network).</p>	<p>2. Availability and interest of legal staff in training.</p>
<p>Component 3 Experiences and good practices disseminated and shared.</p>					

<p>1. Platform reactivated as a knowledge management system and actively utilized by participating countries.</p> <p>2. Communication strategy developed (or updated in the case of Tanzania) in each participating country.</p> <p>3. Development of POPs education materials (including on 9 new POPs), and pilot community training, working with local NGOs and focusing on vulnerable communities leads to increased awareness of communities on the dangers posed by POPs</p> <p>4. SADC countries make a declaration committing to implement the Stockholm Convention, and, if required, to make resources available.</p>	<p>1. CIEN platform exists but is inactive.</p> <p>2. Tanzania has a communication strategy for pesticides, but requires revision to include all POPs. Lack of communication strategies in other countries in SADC subregion.</p> <p>3. Little systematic targeting r training has been conducted for POPs-vulnerable communities in this region.</p> <p>4. Absence of high-level support for implementation of the Stockholm Convention in the SADC forum.</p>	<p>1. Revitalize the Chemical Information Exchange Network (CIEN) as a knowledge management system.</p> <p>2. 1 Training in the development of communication strategies for POPs 2.2. All relevant sectors and stakeholders engaged in the implementation of project activities.</p> <p>3. Two pilot communities trained in each participating country.</p> <p>4. Bring high-level representatives to SADC forum, to increase high level awareness on the Stockholm Convention.</p>	<p>- CIEN or other information platform - Accessibility of the information platform</p> <p>- Communication development toolkit - Training records - National communication strategy documents</p> <p>- Meeting report/s - High level declaration</p>	<p>1. Platform reactivated, number of hits per week.</p> <p>2.1 Communication strategy. 2.2 Training reports. 2.3 Cross sectoral platform set up in each country to implement the activities.</p> <p>3. Training reports.</p> <p>4. SADC declaration on POPs and chemicals management</p>	<p>3. Vulnerable communities can be identified. Local NGOs available and interested in working on this activity.</p> <p>4. Sufficient political will to make a declaration.</p>
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ANNEX B: RESPONSES TO PROJECT REVIEWS

Comments have not yet been received from GEF-SEC.

ANNEX C: CONSULTANTS TO BE HIRED FOR THE PROJECT USING GEF RESOURCES

Position Titles	\$/ Person Week	Estimated (max.) PWs	Tasks to be performed
For Project Management			
Local			
Project administrator	350	128.6	Administration and coordination of project.
International			
Project officer	1300	57.7	Management of the project
Justification for travel, if any: As given in Section F (Project Management Budget/cost) 30,000 US \$ out of a total of 130,000 US \$ planned for travel expenses of coordinators will be paid from GEF funds. These travel expenses are fully justified given that this is a subregional project run in 5 countries and forms part of a subregional programme. Such an allowance will provide for participation of project coordinators in programme management and coordination meetings.			
For Technical Assistance			
Local			
Legal drafting/planning consultant	700 (30,000)	42.9	Assistance with development of national-level planning for adaptation of existing laws and institution of new laws to achieve a comprehensive framework for chemicals management. Lead role in legal drafting and implementation of national plan.
Regional consultant for development of national plans for legislative framework	1190 (25,000)	21	Consultation with participating countries and assistance with the development of national-level planning for adaptation of existing laws and institution of new laws to achieve a comprehensive framework for chemicals management.
Regional consultants for Stockholm Convention train-the-trainer	1190 (17,000)	14.3	Development and execution of Stockholm Convention train-the-trainer for NFPs and identified trainers.
Regional consultant laboratory assessment	1190 (5,000)	4.2	Country visits and laboratory assessment to formulate subregional database on laboratories, equipment and analytical capability.
Regional ESTIS/CIEN consultant	1190 (3000)	2.52	Execution of subregional ESTIS training.
International			
Legal drafting consultant	2,600 (50,000)	19.2	Development of comprehensive legal framework for chemicals management, and consultation with participating countries.
Sector specific regulation development consultant	2,600 (20,000)	7.7	Development of sector specific regulation, case studies in pilot countries.

Stockholm Convention train-the-trainer course consultant	2,600 (4,000)	1.5	Development and execution of Stockholm Convention training course for NFPs.
Economic instrument consultant	2,600 (10,000)	3.8	Development of training package and execution of training on economic instruments and cost recovery measures.
Training advisor	2,600 (52,000)	20	Execution of all training activities, to ensure continuity, review of participants, design of feedback systems. Also in charge of reporting on lessons learned and ensuring continuous improvement.
Technical review consultant (legal aspects)	2,600 (16,000)	6.2	Review of legal framework, coordination with other subregional activities in the programme.
Judiciary training expert	2,600 (4,000)	1.5	Development and execution of training for the judiciary on international environmental law and the Stockholm Convention and other chemical conventions.
Laboratory consultant	2,600 (11,000)	4.2	Design of laboratory survey, direction of subregional consultant, collation of laboratory survey data, development of laboratory database.
ESTIS/CIEN trainer	2,600 (5,000)	1.9	Development of ESTIS/CIEN training package, execution of training.
Justification for travel, if any: Travel expenses are fully justified given that this is a regional project run in 5 countries. Capacity building activities will be undertaken at the subregional level, to achieve cost effectiveness and local level activities are also necessary to ensure the project reaches vulnerable communities. A total of 145,000 US \$ has been budgeted for travel expenses including DSA of the local and international technical experts / consultants.			

* 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.

The objectives of PPG have been achieved. A consultation with participating countries was convened from 22-25 March in Pretoria, South Africa. A further consultation was convened with representatives of the regional economic commissions in Gaborone, Botswana, from 5-6 July 2010. Two representatives from SADC attended.

The consultant hired for this preparatory phase has been able to gather all available information National Implementation Plans, National Chemicals Profiles and through the face to face consultation.

The information gathered was sufficient to allow the drafting of the different components of the project. The PPG activities also helped to establish create strong linkages with the major stakeholders including the BCRCC (Nigeria), WWF, IPEN, the Africa Institute and other stakeholders. This will directly contribute to management quality during the FSP.

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

The PPG revealed no findings that affect the project design or any concerns on project implementation

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

Project Preparation Activities Approved	Implementation Status	GEF Amount (\$)				Co-financing (\$)
		Amount Approved	Amount Spent To date	Amount Committed	Uncommitted Amount	
1. Needs assessment and design of project interventions with regards to Legislative and regulatory framework in participating countries	Completed	20,000	20,000			
2. Needs assessment and design of project interventions with regards to strengthening the Enforcement and administrative capacity in participating countries	Completed	23,000	23,000			
3. Needs assessment for identification and formulation of support to existing regionally coordinated mechanisms for effective dissemination and sharing of the specific project/country experiences	Completed	10,000	10,000			
4. Development of a comprehensive project M&E system and definition of concrete project impact	Completed	4,000	4,000			

indicators						
5. Development of project design (including regional harmonisation workshop for all components) aimed at the involvement of key stakeholders in the project with regards to co-financing, in-country project preparation and design, project coordination, assessment of incremental costs, financial management and development of technical documents needed for the successful project development and implementation (shared by UNEP & UNIDO)	Completed	3,000				
			3,000			
Total PPG expenditure		60,000	60,000			

* 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.

ANNEX E: CALENDAR OF EXPECTED REFLOWS

Provide a calendar of expected reflows to the GEF Trust Fund or to your Agency (and/or revolving fund that will be set up)

Not applicable to this project.

Acronyms and Abbreviations

ANCAP	African Network for the Chemical Analysis of Pesticides
ACP	Africa Caribbean and Pacific
ASP	Africa Stockpiles Programme
AUC	African Union Commission
BAT/BEP	Best Available Techniques/Best Environmental Practices
BCRCC	Basel Convention Regional Coordinating Centre
CIEN	Chemical Information Exchange Network
CLI	CropLife International
COMESA	Common Market for East and Southern Africa
ECOWAS	Economic Community of West African States
GEF	Global Environment Facility
LDCs	Least Developed Countries
NCC	National Coordinating Committee
NGO	Non-Governmental Organization
NFP	National Focal Point
NIP	National Implementation Plan
OECD	Organization for Economic Cooperation and Development
PCB	Programme Coordination Body
POPs	Persistent Organic Pollutants
QSP	Quick Start Programme
SADC	Southern African Development Community
SAICM	Strategic Approach to International Chemicals Management
SETAC	Society of Environmental Toxicology and Chemistry
SIDS	Small Island Developing States
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organisation
WHO	World Health Organization



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

**Project of the Governments of South African Development Community (SADC) /Least
Developed Countries (LDCs) Member States
Regional Africa: Angola, Lesotho, Mozambique, Swaziland and Tanzania**

Project number:	XX/RAF/09/X13
Project title:	Capacity Strengthening and Technical Assistance for the Implementation of the Stockholm Convention (SC) National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Sub-region
GEFSEC Project ID:	3942
Thematic area code:	FG 50 – Environment
Starting date:	March 2011
Duration:	5 years
Project site:	SADC Sub-region
Governments:	LDCs/SADC Member States
Co-ordinating agency:	Institutions responsible for the environment
Counterpart:	Institution responsible for Environment
Executing agency:	UNIDO/UNEP
Project Inputs (GEF):	US\$ 1,500,000
- Support costs (10%):	US\$ 150,000
- UNIDO inputs:	US\$ 700,000 (in-kind)
- Counterpart inputs:	
LDCs in SADC region	US\$ 600,000 (cash/in-kind)
Others (Stockholm Convention Secretariat, SAICM, AUC)	US\$ 530,864 (cash/in-kind)
Total Co-financing:	US\$ 1,830,864
- Grand Total:	US\$ 3,330,864 (excl. Agency support costs)

Brief description:

Most of the Least Developed Countries (LDCs) in the SADC Sub-region ratified the Stockholm Convention on Persistent Organic Pollutants (POPs) and have also prepared their National Implementation Plans (NIPs) to implement the Convention. The NIPs of these countries have established preliminary inventories of POPs chemicals, identified technical, regulatory and institutional barriers to Stockholm Convention implementation. Prior to submission to the Convention Secretariat, NIPs were endorsed by the respective participating Governments of the SADC Sub-region.

The preparations of the NIPs are essential and indispensable prerequisites for the smooth implementation of the SC in the LDCs of the SADC Sub-region. In order to efficiently and effectively implement the NIP, the creation of an overall enabling environment is required by addressing cross-cutting and overarching regulatory and institutional issues in a systematic manner.

The proposed Project has been prepared with the active participation of the LDCs/SADC Member states. The project design is consistent with the priority activities set in the NIPs and with the poverty reduction strategies and Millennium Development Goals (MDG) of the LDCs/SADC member states. The project, being a capacity building, will create a regulatory and institutional enabling environment that will greatly facilitate the cost-effective implementation of the Stockholm Convention.

Approved:**Signature:****Date:****Name and title:*****On behalf of***

**On behalf of
UNIDO:**

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LIST OF ACRONYMS AND ABBREVIATIONS

BAT	Best available techniques
BEP	Best environmental practices
CBOs	Community based organizations
COPs	Conference of Parties
DDT	dichloro-diphenyl-trichloroethane
EIA	Environmental impact assessment
ERA	Environmental risk assessment
ESM	Environmentally Sound Management
FAO	Food Agriculture Organization
GEF	Global Environment Facility
HLMCG	High Level Inter-ministerial Coordination Group
HRA	Health Risk Assessment
LDCs	Least Developed Countries
MDGs	Millennium Development Goals
MIS	Management Information System
MOE	Ministry of Education
MOF	Ministry of Finance
MOH	Ministry of Health
MOU	Memorandum of Understanding
MSEs	Micro and Small Enterprises
NCPCs	National Cleaner Production Centres
NEA	National Executing Agency
NGO	Non-governmental organization
NIP	National Implementation Plan
NPC	National Project Coordinator
OP	Operational Program
PCB	Polychlorinated biphenyls
PCDD/PCDF	Polychlorinated dibenzo-p-dioxins and dibenzofurans
PIRs	Project Implementation Reviews
PMO	Project Management Office
POPs RC	PO Ps Reviewing Committee
R&D	Research and Development
RC	Regional Coordinator
REC	Regional Economic Communities
SADC	Southern African Development Community
SC	Stockholm Convention
SRSC	Sub-regional Steering Committee
TCG	Technical Coordination Group
UN	United Nations
UNDP	United Nations Development Program

UNEP	United Nations Environment Program
UNIDO	United Nations Industrial Development Organization
UP-POPs	Unintentionally produced persistent organic pollutants
WB	World Bank

SECTION A: CONTEXT

1. 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.
2. 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).
3. 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.

A.1 THE STOCKHOLM CONVENTION AND THE STATE OF IMPLEMENTATION IN THE SADC SUB-REGION

The Convention

4. POPs possess toxic properties that resist rapid degradation, bio accumulate and transport through air, water and migratory species across international boundaries far from their place of release, where they accumulate in terrestrial, marine and aquatic ecosystems far from their origin. With years of emission releases before their environmental risk became known, POPs have already become serious international environmental problem that mankind must face and seek solutions to it.
5. 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).
6. The GEF has been selected as the Convention's principal financial mechanism. In October 2002, the GEF Assembly approved the addition of POPs as a new GEF focal area, and in November 2003, the GEF Council approved the GEF Operational Program on POPs(OP#14)

Overview

7. The LDCs of 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).
8. 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.

9. The implementation of this 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.

The National Implementation Plans (NIPs)

Development process

10. The NIPs in the majority of the LCD in the SADC Sub-region have been prepared through the support and assistance of UNIDO and other UN Agencies and through provision of funds by GEF. In order to guide the development and implementation of the NIPs, some LDCs in the Sub-region have established national coordinating group led by an institution responsible for the environment. LDCs in SADC Sub-region have submitted their NIP documents to the Convention Secretariat that have served as an overall global guidance for implementation of the Stockholm Convention.
11. The NIPs have been prepared through the support and active participation of the international and domestic institutions and organizations, and through extensive consultations with international and domestic stakeholders. For soliciting the comments on the NIPs' framework, national workshops in the respective countries have been held to understand the management of POPs of the industries and local government entities, identify their needs for Convention implementation, and explore action plans and strategies that can both meet Convention requirements and promote sustainable industrial and local development.
12. The NIP development process strictly followed the "*Guidance for Developing a National Implementation Plan for the Stockholm Convention*" and the obligation contained in Article 7 of the Convention. Based on extensive investigations and consultations, the developed NIPs have identified a series of activities, strategies and action plans to be carried out within the implementation period set by the Stockholm Convention COPs.

Contents of the National Implementation Plans

13. Based on the situation of the LDCs in the SADC Sub-region, a number of action plans have been developed. The initial priority areas in these countries as identified in the NIPs include: policies and regulations; inventory for intentionally generated POPs releases (pesticides, PCBs) and wastes containing POPs; identification of contaminated sites; adoption of BAT/BEP to control dioxin releases from key dioxin emitting industries; environmentally sound management of wastes; financial mechanisms to ensure implementation of each action plans; development and enhancement of capacity building in support of Convention implementation; and establishment of a long-term mechanism to control POPs releases and emissions.
14. 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.

A.2 BARRIERS TO THE ENHANCEMENT OF CAPACITY FOR EFFECTIVE AND EFFICIENT IMPLEMENTATION OF THE NIPS

15. During the NIPs preparation, a number of barriers/ threats that are expected to be encountered when implementing the SC at the SADC Sub-region have been identified. The barriers related to each project outcome are listed as follows.

A.2.1 Barriers towards introducing BAT/BEP to the Industrial processes

16. In the LDCs of the SADC Sub-region, mainstreaming of the BAT/ BEP requirements in current technology application is very low. The application of BAT and BEP, which is prevalent in developed countries, does not exist in the LDCs of the SADC Sub-region. For example, in the medical waste disposal sector, the prevailing technology in use is incineration such as kilns, rather than non-combustion processes that have been popularly applied in some countries.
17. The capacity to introduce BAT/ BEP is poor due to the poor linkages among researchers, entrepreneurs and government officials. Entrepreneurs do not have easy access to the information of BAT and BEP. Those government professionals that are believed to be familiar with the state of the art in BATs and BEPs have little knowledge of market finance, commercial enterprise operation and economic appraisal of project.
18. The 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. 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. These activities will be conducted in line with the priorities identified in the NIPs of these countries as follows:
 1. Application system of environmental risk assessment (ERA) and health risk assessment (HRA) for POPs and related materials/wastes
 2. Test methods for POPs in various media and monitoring techniques for the release of POPs from key sources in coordination with the Global Monitoring Plan (GMP) where applicable
 3. BAT/BEP measures to reduce the release of dioxins from key sources
 4. Safe disposal technologies for POPs and POPs containing materials/wastes
 5. Sound remediation solutions for POPs contaminated sites, involving the remediation of soil, groundwater, etc.

A.2.2 Barriers to the reduction of the risk of exposure to POPs-containing wastes

19. Decision makers, workers, consumers and the population at large are very far from being aware of the risk of exposure to POPs from the current waste management systems and the use of banned Annexes A and B pesticides in agriculture including urban agriculture (market gardening).
20. To overcome the low awareness and knowledge barrier to reduce this risk include the following specific activities: (i) organize workshops for decision makers in pesticides supply; (ii) organise workshops for waste management personnel; (iii) initiate regional training programmes on waste management; (iv) promote the teaching of waste management in schools and universities; and (v) organize workshops on integrated pest management in urban agriculture with focus on the use of bio botanical pesticides.

Technology transfer and socio-economic barriers

21. The LDCs in the SADC Sub-region are facing technical and economical inaccessibility to modern technologies for the management of municipal solid waste (MSW), PCBs solid and liquid waste as well as health-care waste (HCW). 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.

22. To reduce the problem of technology transfer and socio-economic barriers, activities that will be carried out by the project include the following: (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; and (v) promotion of a sound health-care waste management option based on the lessons learnt from the GEF/UNDP project.

Barriers to Research and Development

23. Majority of the National Chemical Profiles and most of the NIPs prepared by the LDC Member States of the SADC Sub-region have pointed out the very weak infrastructure for research and development in the field of POPs, especially for developing alternative products and technologies to replace UP-POPs releasing ones currently in use.
24. To reduce the research and development barrier the following research activities are planned to be undertaken through the project: (i) review 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 channelling 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..

Financial barrier to the reduction of exposure to POPs

25. The NIPs of the LDC Member States of the SADC Sub -region indicate a huge gap between the national budget contribution and the total budget required for the NIP implementation. Moreover, the SADC/LDCs are lacking capacity to develop strategies for fund raising from the local private sector and the external donors.
26. This project will investigate the feasibility of implementing environmentally sustainable and socially acceptable PPP model to create Micro- and Small Enterprises (MSEs) based on innovative technologies to: (i) produce bio- botanical pesticides; (ii) recycle plastic bags; and (iii) recycle used paper and e-waste.

Shortage of skilled personnel

27. The identification of the risk of exposure to POPs particularly at workplace, its assessment and continuous mitigation management are some of the challenges that the LDCs in the SADC sub-region are currently facing, partly because of lack of qualified nationals.
28. The present project includes such activities like technical training of nationals on sound waste management strategies, integrated pest management with particular emphasis on the formulation and use of bio- botanical pesticides, training of sound waste management, pilot demonstration of waste recycling and pesticides formulation. Such activities are designed to raise knowledge and awareness as well as minimize the barrier to research and development, strengthen national human resources and technical capacities by providing relevant training of the risks of continuous exposure POPs chemicals. The nationals trained during the project will subsequently serve as trainers of other nationals to ensure sustainability in the availability of qualified nationals in the targeted fields.

A.2.3 Barriers/risks in remediating contaminated sites

Lack of appropriate policy and legislative framework

29. GEF catalytic role through the enabling Activities Project assisted LDCs in carrying out inventory and in preparing their NIPs on POPs. The NIPs of these countries identified the policy and regulation gaps as one of the highest priority issues that need to be tackled in managing POPs chemicals in general and contaminated sites in particular. The SADC/LDC

Member states have in place general policy and legal framework for the protection of the environment and public health. However, there are no regulations and guidelines that would specifically address POPs contaminated sites.

30. Inadequate legislative framework is the first major barrier in the identification and management of contaminated sites. LDC/SADC member states acknowledged in their NIPS that the provision of appropriate legislation is the first step countries should take in managing their potentially contaminated sites. A suitable legislative framework that provides the rules of engagement for remediating contaminated sites should include sanctions and economic incentives tied up with enforcement and compliance. Under this project assistance will be provided by UNEP to identify policy and legislative gaps and fill such gaps to manage contaminated sites.

Inadequate awareness and ineffective coordination

31. Awareness on the health risks of the contaminated sites to the surrounding communities in the SADC member states in general and the in LDCs in particular are low and the existing institutions in these countries have disjointed sectoral mandates and inadequate inter-agency coordination. LDCs within the SADC Sub-region may therefore fail to achieve the required level of awareness and effective coordination at the Sub-regional level when implementing the Stockholm Convention and the contaminated sites component of this project.
32. This risk of lack of coordination will be addressed by involving all stakeholders in the Sub-region through NIP implementation and coordination offices in respective countries. Such efforts will also be enforced by providing trainings aimed at increasing awareness of the need for cross sectoral cooperation. The coordinating roles of the Regional Economic Community (REC) and the institution responsible for environment will play vital role coordinating project activities. As the project evolves additional mechanisms for improved awareness and coordination at the sub-regional levels will be explored.

Lack of financial resources

33. According to the information obtained from the NIPs documents of the SADC Member States, the financial resources needed to clean up contaminated sites is huge compared to what can be made available by the respective countries. Under such circumstances GEF is the most appropriate institution that can financially assist the member states in their effort to clean up contaminated sites.
34. However, the risk of sustainability due to the lack of finance in the long term is going to be low due to the fact that the capacity building achieved through this project will be broadly applicable to many similar contaminated sites that may emerge in the future. Remediation of contaminated lands requires huge financial resources. In the case of the LDCs of the SADC Sub-region, it is difficult to avail the needed resources for the following reasons:
 - limited budgets from governments and from bilateral/multilateral donors;
 - competing demands for limited resources and lack of mechanism for selecting options with comparative advantages;
 - difficulty in applying the “polluter pays” principle while ensuring needed improvement and actions; and
 - difficulties in ensuring the rational use of meagre resources.

Government commitment

35. The Governments in the LDCs of the SADC Sub-region are committed but have lack of technical and financial capacity to clean up contaminated sites. This may be partly due to lack of awareness and partly due to lack of budget to undertake such tasks. For this project the risk of lack of governments’ commitment is low since the project emphasizes the need for a project to be country driven and it will be implemented under the close supervision at the highest political level to fully commit the governments of the LDCs in the SADC Sub-region.

Risk of establishing public private partnership

36. Countries in the LDCs of the SADC Sub-region may fail to create favourable environment to attract national and international private investors and establish public private partnership to clean up contaminated sites. To minimize such risk this project will support the development and implementation of the technology promotion as an integral element of the sub-regional capacity building. To this effect the project will assist in the capacity building of the environmental technology transfer centres, national cleaner production centres and investment and technology promotion offices to attract the private sector support and ensure their participation in the cleanup of contaminated sites.

Inadequate timeframe

37. There may not be enough time to complete and achieve the outlined tasks of cleaning up of contaminated sites indicated in this project. Such risks will be minimized due to the fact that the implementation will be based on a work plan that will be monitored periodically. Adjustment will also be made on the plans to meet timely inputs and achieve the required outputs.

Problem of sustainability

38. LDCs in the SADC Sub-region recognize the problem of sustainability that ongoing POPs project would face when they deal only with the problem of disposal of stockpiles while ignoring the related problem of cleanup of lands contaminated with POPs chemicals. To minimize such risk the LDCs/SADC member states have consequently approached UNIDO to assist them through GEF funding to develop policies and regulations for the rehabilitation of contaminated sites and at later stage through other donor support and promote in situ clean up of such lands while promoting the transfer of appropriate remediation technologies.

Lack of comprehensive scientific/socio-economic data

39. The formulation of suitable and effective management framework for the management of contaminated sites should be based on adequate scientific and socio-economic data and information. The information gathered must cover pathways and transport of pollutants as well as human and ecosystem exposure, toxicology and eco-toxicology detailing the understanding of the socio-economic indices. Constraints in achieving adequate scientific and socio-economic data include:
- absence of comprehensive scientific data on contaminating chemicals and the risks they pose to humans, wildlife and the environment;
 - insufficient analytical facilities for hazard/risk assessment;
 - lack of tools for proper assessment of the socio-economic aspects of remediation and contaminated sites management;
 - limited technical expertise to enable rational choice of remediation technologies and ensure successful implementation; and
 - unsatisfactory environmental practices.

Ineffective enforcement of regulations and legislation

40. Even in those countries where legislation to manage contaminated sites exists, there is no functional enforcement and surveillance procedure to ensure the effectiveness of such laws. The difficulties of providing the necessary inputs to enforce the legislation related to the management of contaminated sites in the LDCs of the SADC Sub-region include:
- lack of trained personnel and resources to achieve a critical mass of personnel with the requisite skills and equipment to enforce the envisaged legislation;
 - absence of resources to undertake the required inspection to punish offenders and reward compliers; and
 - lack of technical and management capacity for monitoring enforcement.

Absence of clear responsibilities and limited coordination

41. The multi -sectoral nature of chemicals management in most developing country situations results in lack of coordination in the management of contaminated sites. To minimize the risk, assigning responsibilities to institutions must be harmonized with the proposed framework legislation on contaminated sites. Barriers in assigning responsibilities to institutions include:
- rivalry between the ministries and departments concerned with the management of contaminated land;
 - absence of key players and potential problems with assumption of liability;
 - historical actions carried out due to ignorance of potential problems.

A.3 DOMESTIC, REGIONAL AND GLOBAL BENEFITS

42. **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.
43. **Regional benefits:** With the proposed 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.
44. **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 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.

A.4 SPECIAL FEATURES***Highly prioritized in NIP***

45. LDCs of the SADC Sub-region are in great need for capacity building to fulfil the gaps identified in their NIPs. According to the Stockholm Convention there are many objectives to be accomplished before 2010. For instance, BATs for new sources in the categories listed in Part II of that Annex C should have been introduced before 2008. The LDC countries in the

SADC Sub-region were expected to submit their first report by December 2006 and the subsequent reports every four years thereafter.

Free-standing as an enabling activity project for cross-cutting capacity building

46. Capacity building is one of the most important activities in many development projects. However, with the development of this project in the Sub-region, it is recognized that the project components alone cannot provide all the required capacity for effective and efficient implementation of the NIPs. In fact, many essential cross-cutting capacity building activities will be left unaddressed. In this Project the systematic, institutional and individual capacities, which are crucial and yet not dealt within the NIPs will be prioritized and strengthened. Therefore, the project is proposed as a stand-alone project focusing on a holistic way of capacity building within SADC/LDCs with the outputs of the on-going capacity building activities inherently complementing this project.

Cross-cutting

47. The project targets at cross-cutting capacity building activities identified from the NIP Documents of the SADC/LDCs. The cross-cutting capacities include but are not limited to policy, legal and regulatory framework, financial resources and technology transfer, incentive systems and market instruments, monitoring and observation, institutional mandates, management and performance, co-ordination and processes for interaction and co-operation between all stakeholders, networking with regions, mobilisation of science in support of decision-making, information management, negotiation, awareness and exchange of information, and individual skills and motivation.

Synergies with on-going and future thematic investment projects

48. The ongoing capacity building elements of the existing development projects identified in the NIPs will need to be harmonized and synergized with this project to make it cost effective.

Stakeholders involvement and participation

49. Relevant ministries and intergovernmental organisations have already been involved during the development of the NIPs. During the NIP development process broad partnership has been established with the relevant stakeholders. In addition to funding support, the stakeholders also provided assistance in reviewing and commenting upon project outputs, guiding NIP development at the macro-level and in disseminating project findings and outputs. It is intended that this partnership will be extended in order to facilitate engagement with appropriate actors at key stages of the project development.
50. The capacity building programme will at an early stage contain activities directed to addressing awareness raising and stakeholders' participation. This will help identify other concerned stakeholders representing the private sector, academia, workers and public interest groups that should be invited to participate in the implementation of the project. The responsibilities of other stakeholders will have to be delineated on case by case basis. The table below gives an initial list of stakeholders and their means of involvement and participation to the proposed project.

Involvement and participation of stakeholders

Output	Stakeholders	Means of involvement and participation
Output 1.1: Regional SADC BAT/BEP Forum established	Institutions responsible for the environment , Ministry of Industry, Academia, NGOs, Ministry of Finance, private sector, Ministry of Health, power generation sector, media	Participation in planning of the Forum establishment activities

Output	Stakeholders	Means of involvement and participation
Output 1.2: Human resources for practicing BAT/BEP developed and technical knowledge in SMEs and informal sector shared	Institutions responsible for the environment, Ministry of Industry, Private sector, Academia, NGOs	Implementation of the project activities
Output 1.3: BAT/BEP in textile and leather drying and finishing and waste oil refinery source categories initiated	Institutions responsible for the environment, Ministry of Industry, Private sector, Academia, NGOs, professional institutions, consultants	Introduction of the BAT and BEP strategies and implementation of the pilot demonstrations.
Output 2.1: The concept of cleaner MSW management system to mitigate UP-POPs releases introduced	Institutions responsible for the environment, Ministry of Health, municipalities and other local governments, university and research centres and Civil Society organisations involved in waste management	Participation in the NIP implementation coordination committee Participation in the training workshops and in the public awareness activities Undertaking of subcontracts for the various activities of the project
Output 2.2: Botanical pesticides produced and promoted in rural agriculture including market gardening in urban areas	Institutions responsible for the environment, Ministry of Agriculture, chambers of commerce, universities and research centres	Participation in the NIP implementation coordination committee Participation in the training workshops and in the public awareness activities Undertaking of subcontracts for the various activities of the project
Output 2.3 Strategy developed to audit, formalize and scale up micro and small enterprises informal management practices of PCBs, solid and liquid wastes including plastic wastes, used paper and e-waste	Institutions responsible for the environment, National power companies, Civil Society organisations and private sectors actors involved in waste management	Participation in the NIP implementation coordination committee Participation in the training workshops, seminars and in the public awareness activities Undertaking of subcontracts for the various activities of the project
Output 3.1: Contaminated Site identification strategies, protocols and guidelines formulated and applied in the Sub-region based on the UNIDO tool kit	Institutions responsible for the environment, Ministry of Industry, Private sector, Academia, NGOs, and consultants	Management and implementation of the provisions of the toolkit for identification of contaminated sites.
Output 3.2: Capacity to manage contaminated sites strengthened	Institutions responsible for the environment, Ministry of Industry, Ministry of agriculture, Private sector, Academia, NGOs, Ministry of agriculture	Training and practices on issues of contaminated sites management.
Output 4.1: Project management structure established	UNIDO, Ministry of Environment, Ministry of Industry, Private sector, Academia, NGOs, and consultants	Management, monitoring and implementation of the provisions of the activities.

Output	Stakeholders	Means of involvement and participation
Output 4.2: M&E framework designed and implemented according to GEF M&E procedures	Consultants, Subcontractor, PMO	Sub-contracting consultants and contractors
Output 4.3: Additional resources to supplement project budget deficiencies mobilized	Governments, UNIDO/UNEP and the project office, private investors, NGOs	Fund raising workshops

Country driven and consistent with national development programmes

51. The project design is consistent with the poverty reduction strategy and MDGs of the LDCs of the SADC Sub-region.

Advanced programmes demonstrated in selected countries

52. Remediation pilot project for the clean-up of POPs contaminated site will be demonstrated in a pilot country within the LDCs of the SADC Sub-region to generate knowledge and experience and for replication of results throughout the Sub-region.

SECTION B: REASONS FOR UNIDO ASSISTANCE

53. Since the Convention opened for signature, UNIDO became one of the principal agencies assisting the least developed and developing countries and countries with economies in transition to meet their obligations under the convention. Article 6 of the Convention requires parties to reduce or eliminate releases of the priority POPs from stockpiles and wastes. In response to the above requirement of the Convention, UNIDO has aggressively embarked on actions to develop environmentally sound management methodologies and technology transfer approaches and has conducted forums for implementation of Articles 5 and 6 of the Convention in developing countries and countries with economies in transition.
54. UNIDO delivers its technical assistance to countries through a global set of institutional network ranging from field and desk offices, cleaner production centers, investment and technology promotion centers, environment technology centers, and global environment forums of BAT and BEP. This has reflected the commitment of UNIDO to derive high in its agenda, the implementation of the Convention and for many years to come, supporting sustainable industrial development and opening new avenues for transfer of disposal and clean-up technologies.
55. UNIDO's comparative advantage is working on industry related technical assistance and capacity building including Environmentally Sound Management and Disposal of PCBs stockpiles, introduction of BAT and BEP to the industrial sectors mentioned in Article 5, Part II and III of Annex C, management of contaminated sites, demonstration of technologies and alternatives to products and processes, and development and implementation of NIPs.
56. UNIDO's comparative advantage includes efforts on POPs pollution reduction and/or elimination, industrial process changes, substitute or modified materials and products, cleaner production methods, BAT and BEP, and the environmentally sound management for minimization and disposal of POPs chemicals and wastes. UNIDO capitalized on its existing institutional network such as NCPCs, ITPOs, Field Offices, BAT/BEP Global Forums and local UNIDO Desks to ensure close cooperation and collaboration with the POPs programme.
57. UNIDO priority areas of the POPs programme based on the provisions of Articles 5 and 6 of the Stockholm Convention are mainly focus on the industrial sectors mentioned in Annex C of the Convention. These are as follows:
- Introduction of BAT/BEP strategies to the industry's release source categories;
 - Adoption of non-combustion and other viable technologies to eliminate PCBs and Pesticides wastes and stockpiles;
 - Develop identification strategies for contaminated sites and remediation in an environmentally sound manner;
 - Sound management of medical waste and disposal systems; and
 - Capacity building and strengthening for NIP implementation.
58. UNIDO's technical assistance on POPs contributes to the global efforts of the international community towards the fulfilment of the obligations of member states under the Convention. On a greater scale, UNIDO's efforts will contribute towards the reduction of the adverse effects of these harmful chemicals of POPs on human health and the environment in a sustainable manner. UNIDO's policy and programmes in this matter are to support the sustainability actions of the Convention when the disposal and clean-up of POPs stockpiles has been undertaken.
59. In building capacity for governmental and private institutions, UNIDO encourages government environmental protection agencies to enact policies and regulations specifically designed to integrate the issue of POPs disposal into the mainstream of Hazardous Waste management. It would then be expected that the public and private sector would move together and provide investment opportunities which would attract more involvement of the community to the upstream actions of waste management and clean-up.
60. In parallel to building national capacities, UNIDO provides tools for implementation by making available and providing access to information on different types and approaches of technology transfer. UNIDO facilitates the introduction of best available techniques and best environmental practices, through technical assistance to developing countries and countries with transition economies.

SECTION C: THE PROJECT

C.1. Objective of the project

61. 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 country's capacities for sound management of POPs chemicals.
62. 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.

C.2. UNIDO approach

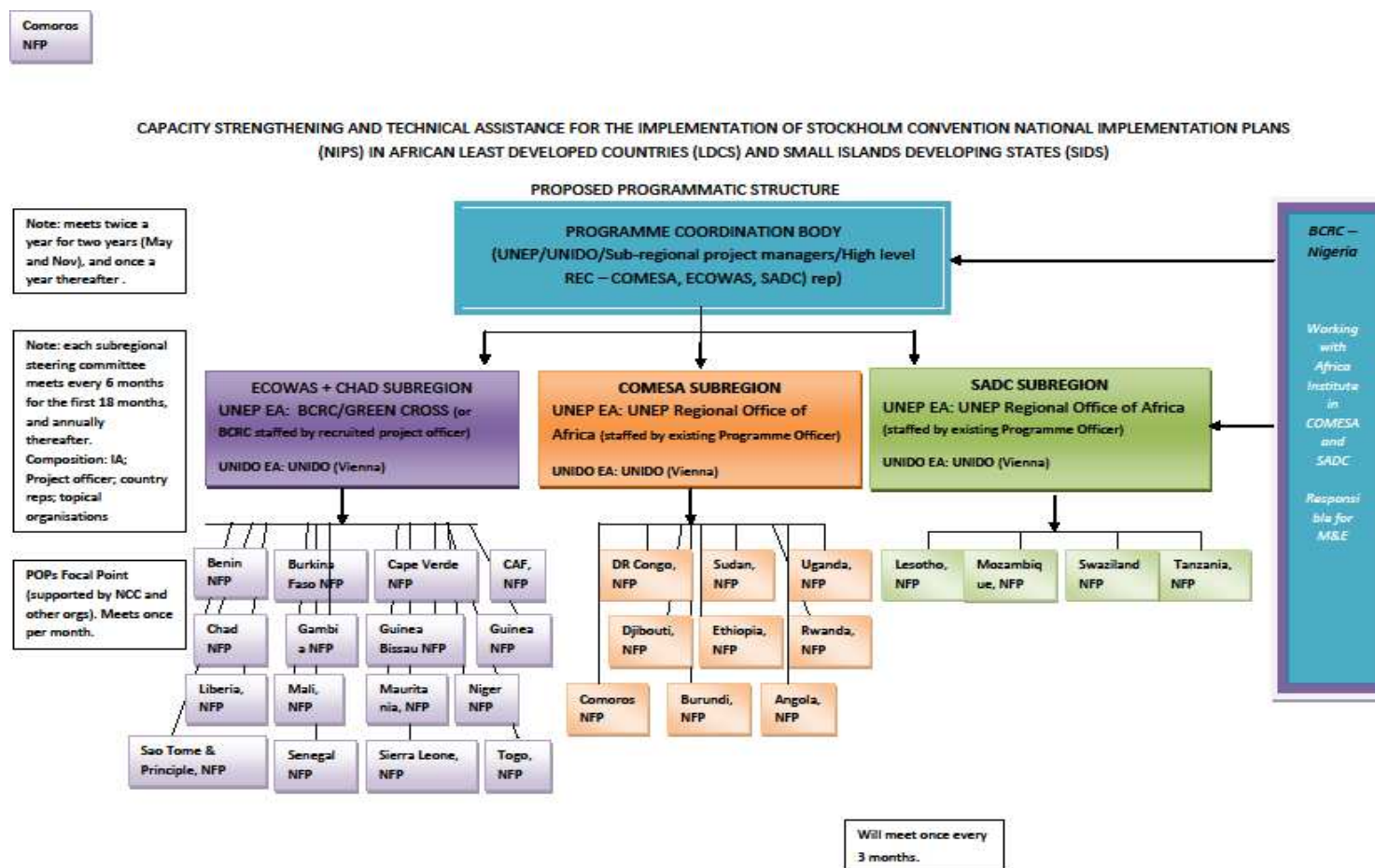
Project Implementation Arrangement

63. 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. This approach will make use of existing networks and also consider South-South cooperation.
64. The proposed project, focusing on LDCs in the SADC sub-region is being jointly implemented by UNEP and UNIDO. UNIDO is implementing the three components discussed in this project document, and UNEP is implementing the other three components described in the UNEP project document. The following paragraphs describe the institutional framework for the overall program.
65. **Programme Coordination Body (PCB)** will be established at the highest level. The programmatic structure includes a PCB, comprising of representatives from UNEP, UNIDO, executing agencies, RECs, 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.
66. **Sub-regional Steering Committee (SRSC)** is responsible for project execution. SRSC include representatives from UNEP, UNIDO, executing agency staff, POPs/ NFPs, the SCC BCRC and relevant organizations relating to project execution. SRSC approve annual work plans, agree terms of reference for external consultants and oversee project activities. The steering committee provides 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.
67. 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.
68. A project focal point will be established within UNIDO to assist in the project execution. This focal point will be comprised of a part-time professional and support staff that will be engaged

in the management and coordination of UNIDO's programme of support to the Stockholm Convention. UNIDO will make these services available as part of its in-kind contribution to the project.

69. 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.

70. Proposed structure of the project management is diagrammatically shown in Figure below.



C.3 Rationale for GEF Intervention

71. The proposed project will respond effectively to the articles of the Convention, including:

Article 7: Each party shall prepare NIP and submit to the convention Secretariat in two years after the Convention is ratified. The GEF used the finalization of the NIP as criteria for the LDC countries in the Sub-region to be included in this project.

Article 9: Each Party shall facilitate or undertake the exchange of information. Each Party shall designate a national focal point for the exchange of such information.

Article 10: Each Party shall, within its capabilities, promote and facilitate awareness among its policy and decision makers with regard to persistent organic pollutants, provision to the public of all available information, development and implementation of educational and public awareness programs, public participation, training of workers, scientists, educators and technical and managerial personnel, development and exchange of educational and public awareness materials at the national and international levels, and development and implementation of education and training program at the national and international levels. In addition, Article 10 also states that each Party shall, within its capabilities, ensure that the public has access to public information and that the information is kept up-to-date. Each Party shall, within its capabilities, encourage industry and professional users to promote and facilitate the provision of the information at the national level and, as appropriate, sub-regional, regional and global levels. Each Party shall give sympathetic consideration to developing mechanisms, such as pollutant release and transfer registers, for the collection and dissemination of information on estimates of the annual quantities of the chemicals listed in Annex A, B or C of the Convention that are released or disposed of.

Article 11: The Parties shall, within their capabilities, at the national and international levels, encourage and/or undertake appropriate research, development, monitoring and cooperation pertaining to persistent organic pollutants and, where relevant, to their alternatives and to candidate persistent organic pollutants. The Parties shall, within their capabilities, support national and international efforts to strengthen national scientific and technical research capabilities, particularly in developing countries and countries with economies in transition.

Article 12: The Parties shall cooperate to provide timely and appropriate technical assistance to developing country Parties and Parties with economies in transition, to assist them, taking into account their particular needs, to develop and strengthen their capacity to implement their obligations under this Convention.

Article 13: The Convention sets out the principles on which “developed country Parties shall provide new and additional financial resources to enable developing country Parties and Parties with economies in transition to meet the agreed full incremental costs of implementing measures that fulfill their obligations under the Convention”. Article 14 of the Convention states that “The institutional structure of the Global Environment Facility (GEF) shall, on an interim basis, be the principal entity entrusted with the operations of the financing mechanism referred to in Article 13...”

Article 16: Comparable and reliable monitoring data is the basis for the effectiveness evaluation. Therefore, each Party has the obligation to allocate such monitoring data, in accordance with their technical and financial capacities, using existing programmes and mechanisms to the extent possible and promoting harmonization of approaches.

72. In response, the Council of the GEF agreed at its 19th meeting in May 2002 to amend the Instrument of the Facility to enable it to serve as an entity entrusted with the operation of the financing mechanism of the Convention. The Council having reviewed document GEF/C.19/14 recommends that the GEF Assembly designate “Persistent Organic Pollutants (POPs)” as a focal area (OP#14) in support to the implementation of the Convention.
73. According to OP#14, the GEF will provide funding, on the basis of agreed incremental costs, for three types of activities to address POPs issues (i.e. capacity building, on-the-ground interventions and targeted research. The activities under capacity building include: 1) strengthening of human and institutional capacity; 2) strengthening and harmonization of the policies and regulations; 3) strengthening of monitoring and enforcement capacity; 4) developing capacity to assess technologies and management practices, and promoting and facilitating the transfer of viable and cost-effective options and management practices; 5)

developing and implementing public awareness/information/environmental education programs; and 6) facilitating dissemination of experiences and lessons learned and promoting information exchange. Most all of these activities are contained in this project.

74. GEF-3 POPs management program was aimed to support the preparation of NIPs while GEF-4 will focus on the implementation of the NIPs. In order to achieve the long-term success of the POPs Convention, strong emphasis will be placed on the sustainability of GEF interventions, focusing especially on countries whose policies and action plans demonstrate their firm commitment to implement the Stockholm Convention. While some LDC countries in the SADC Sub-region are completing the NIPs development, Capacity Strengthening and Technical Assistance for the Implementation of the NIPs are consistent with the second Strategic Objectives of GEF-4 in the focal area of POPs, which include:
- Continuing the GEF's National Implementation Plan (NIP) Program.
 - Strengthening national capacities for NIP implementation, including assisting those countries that lag behind to establish basic capacities for sound management of chemicals.
 - Partnering in investment needed for NIP implementation to achieve impacts in POPs reduction
 - Partnering in the demonstration of feasible, innovative technologies and practices for POPs reduction.

C.4 RBM CODE AND THEMATIC AREA CODE

RBM code: DE14 – Stockholm Convention

Thematic Area code: FG 50 – Environment

C.5 EXPECTED OUTCOMES, OUTPUTS AND ACTIVITIES

75. Four substantive Outcomes are anticipated to achieve the project objectives of this programme.

Outcome 1: BAT/BEP in industrial production processes

76. Outcome 1 will result in enhanced efficiency and in reducing, avoiding and eliminating UP-POPs releases and reducing releases of other pollutants by coordinating the implementation of the Stockholm Convention action plans with cleaner production activities in the industry and review and possibly improve national policies and regulations. The programme will implement the principles of both environmentally and economically sustainable development and critically review trends and lessons learnt to integrate them in coordinated actions.
77. Information on key national trends, including sources of UP-POPs and hotspots, vulnerability and impacts of these sources on the environment, human health, socio-economic development and public participation will be readily available. This will help establishing the BAT/BEP Forum for the LDCs in the SADC Sub-region. BAT/BEP Forum will be established (same as in the case of Asia, Central Europe, and the Arab Gulf countries) by calling upon countries to collectively compare their NIP PCDD/F emissions from the industry and develop and implement a regional plan. Countries will be grouped by sectors, according to the highest PCDD/F emissions from that sector, and encourage them to cooperate and exchange information on how to reduce/eliminate these emissions. Using this programmatic sector approach, countries could develop regional GEF projects by sector and achieve substantial reductions on their emissions and thereby contribute to the global monitoring plan.
78. The strategy of the introduction of BAT/BEP in selected key industrial sectors as pilot projects will generate and substantiate technical knowledge for up-scaling and further replication in other facilities and sectors. The practical application of the strategy will contribute to the national and international discussion on UP-POPs releases and their impacts on environment and a meaningful response will be obtained to make new management change through the

adaptation of policies and measures. The reduction in the release of UP-POPs will also have positive contribution in the reduction of green house gases and the climate change. The introduction of BAT/ BEP into the industrial processes besides reducing green house gases is also expected to reduce UP-POPs such as PCDD/F releases into the atmosphere. The sectors selected by the countries, based on their NIPs, are textile, tanneries, used oil refineries and open burning of waste at dumpsites. The countries will identify and nominate the entities that will host the pilots according to the ability to co-finance and availability of the adequate human resources to carry out the pilot demonstration and disseminate the technical information for replication. Special reference to the STAP's guidance on synergies and trade-offs between energy conservation and release of unintentionally produced POPs (UP-POPs) will be considered during implementation.

Outcome 2: Reduction of exposure to POPs at workplace and close proximity of POPs wastes and UP-POPs emitting sources

79. African LDCs have identified in their NIPs that workers in the formal or informal sectors as well as the population in general are exposed to PCBs (Annex A), pesticides (Annex A and Annex B) and UP-POPs (Annex C) from various sources. The NIPs have also indicated that the severity of the exposure to POPs remain unknown due to weak monitoring capacities and absence of emission standards. Establishing micro-enterprises (plastics, paper, and e-waste) would maximize the reuse of the materials and prevent open burning. Enterprises will create linkages with suppliers of these goods to maximize recycling to the industry (such as paper and plastics industries that can completely absorb its used products as recyclables). In the case of e-waste, the strategy is to prolong the use of these articles through refurbishment and maintenance skills readily available and avoid the present practices of open burning for recovery of useful materials.
80. The first African monitoring report prepared in 2009 within the framework of the GMP to assess the effectiveness of the Convention as per Article 16, clearly showed that the Sub Saharan African Region is truly lacking capacity in each and every field to generate the relevant information, process it, disseminate and archive it. This obviously prevents from promoting risk assessment activities and thereby the adoption of their appropriate mitigation measures. Nonetheless, all NIPs in the Sub-region have identified waste in general, whether municipal, industrial, hazardous or medical and their current very poor management practices, as being a major contributor in the national emissions of UP-POPs from uncontrolled combustion of municipal waste and from bush and forest fires thus exposing the population to POPs chemicals.
81. Activities are currently underway in the region regarding management and exposure reduction from Pesticides (WB/FAO ASP) and the management of health-care waste to reduce dioxins and mercury releases (GEF/UNDP Project). In these projects best techniques and practices have been promoted to avoid waste related health problems by reducing dioxin and mercury releases into the environment. A pilot project on the management of PCBs and their wastes is about to be launched in the very near future (GEF/UNEP Sub-regional pilot project on PCBs). Similarly, global partnership project for DDT control has been conducted in some parts of Africa. This project will use all these initiatives as an input and it is expected to draw lessons from these initiatives to build the capacities of the LDCs in the SADC Sub-region.
82. Under the prevailing socioeconomic conditions in the African LDCs, the informal sector is one of the most important non-skilled job providers while also being identified as a major but not yet characterized, source of POPs emissions. Hence, when considering mitigation strategies in this sector particular attention should be given to informal activities suspected to have a certain POPs emission potential even though it is not yet conveniently quantified. Among the possible activities within the informal sector that might pose health risk to workers and the population in general include gardening markets in urban areas, PCBs solid and liquid waste recycling, as well municipal solid waste management.
83. Component 2 of the programme is focusing on informal activities with certain level of POPs exposure risk, and its aim is to build an enabling environment in countries, through case studies, in order to sufficiently raise the level of public awareness and knowledge to better understand sound management of chemicals and wastes as an opportunity for creating

business in the private sector for none-skilled citizens, while protecting human health and the environment from POPs and other hazardous chemicals releases. The planned project activities will take into account current and scheduled activities and initiatives and create synergy and sustainability through well established country-driven development, environmental preservation and public health protection programmes.

Outcome 3: Identification and assessment of contaminated land/sites

84. Section 1(e) of Article 6 of the Stockholm Convention states that Parties would "endeavour to develop appropriate strategies for identifying sites contaminated by chemicals listed in Annex A, B and C; if remediation of those sites is required it should be performed in an environmentally sound manner". This implies that countries which ratified the Convention will need to rehabilitate sites contaminated with POPs chemicals. The LDCs in the SADC Sub-region which are parties to this Convention are therefore required to develop appropriate legislative framework and strategy to identify sites contaminated by POPs chemicals. Many countries in Africa including the member states of SADC Sub-region have recognized the problem of sustainability that POPs projects would face when they deal only with the disposal of stockpiles ignoring the related problem of subsequent clean-up and remediation of sites contaminated with POPs stockpiles and chemicals.
85. In the NIP documents of the SADC/LDC Member States the non existence of appropriate strategy and legislative framework that deals with contaminated sites has been identified as a major gap. The absence of such strategy and legislative framework is the first major barrier to properly manage POPs contaminated sites in these countries. Under Outcome 3 of the proposed project, identification, management and clean-up of contaminated sites will be undertaken. Outcome 3 of the proposed project also aimed to introduce appropriate strategy useful for identifying sites contaminated with POPs chemicals and also ensure effective planning for implementation of remediation measures to clean-up contaminated sites.
86. During the preliminary survey of the POPs Enabling Activities Projects, the sites contaminated with POPs pesticides have already been identified in the LDCs of the SADC Sub-region. It is believed that more contaminated sites and hot spots exist in the LDCs of the SADC Sub-region and these sites will need to be identified. The countries in the LDCs of the SADC Sub-region do not have appropriate strategy to promote capacity, identify contaminated sites, assess the level of contamination, conduct risk assessment and carry out pilot scale remediation technology to select most economically feasible and environmentally sound technologies. It is also essential to carry out socio-economic impact and risk assessment of POPs contaminated sites, assess the capacities of the existing laboratories, and organizes training and awareness building workshops to national experts, decision makers, public, press, NGOs and major stakeholders including relevant ministries in the respective countries. Moreover, Donors (bilateral/multilateral) will need to be requested to co-finance some activities and create linkages and synergy among the ongoing initiatives.
87. UNIDO and UNEP with their mandates and the existing initiatives have agreed to jointly assist the LDCs in the SADC Sub-region in their effort to clean up POPs contaminated sites. UNIDO through the use of the Toolkit developed by the project implemented in Nigeria and Ghana for the management of POPs contaminated sites (with emphasis in low cost technologies) will be used to build capacities of the LDCs in the SADC Sub-region and the rest of Africa. The two agencies will provide sufficient information and experiences that would enable countries of the region to initiate clean-up programmes and directly measure the reduction of POPs releases and directly enhance their positive impact on human health and the environment.

Outcome 4: Project management

88. The existence of the Project Management Office (PMO) will ensure stockholder's partnership and coordination at regional and national levels. Similarly, the Office will facilitate the recruitment of technical experts and support staff that will constitute the Project Team. The project office will be responsible for the design and implement of monitoring and evaluation (M&E) framework in accordance with the GEF procedures in order to measure impact indicators on an annual basis. The PMO will be entrusted to hold annual tripartite review meetings and prepare mid-term progress reports and project terminal reports. The PMO will establish project management information system (MIS), including project website to

disseminate information to stakeholders and also put in place adequate communication strategy and perform regular updates with UNIDO website.

Outputs and Activities

89. The lists project outcomes, outputs, and activities, along with responsible entities and stakeholders for each activity, under each project outcome are given below.

Outcome 1: Introduction of BAT/BEP in industrial production processes mentioned in Annex C of Article 5 of the Convention

Output 1.1: SADC Sub-Regional BAT/BEP Forum established

90. The Forum will serve as a sub-regional platform to exchange experiences, lessons learnt, and success stories in introducing BAT/BEP among member countries. The Forum will ensure sustainability of the project and will help initiating regional projects in conjunction with GEF programmable approach policy.

Activities	Responsibility
<i>Activity 1.1.1</i> Convene workshop to prepare a Declaration for establishing the SADC sub-regional BAT/BEP Forum	UNIDO, SADC/LDCs, Basel and Stockholm Conventions regional centres, NCPCs
<i>Activity 1.1.2</i> Launch the Regional workshop for development and formulation of a regional action plan on BAT/BEP	UNIDO, Basel and Stockholm Conventions regional centres, NCPCs
<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	UNIDO, Industry, Academia, institution responsible for environment, Basel and Stockholm Conventions regional centres, NCPCs
<i>Activity 1.1.4</i> Develop partnerships in the region for successful implementation of the regional action plan	UNIDO, Industry, Financial institutions, Basel and Stockholm Conventions regional centres, NCPCs

Output 1.2: Human resources for BAT/BEP developed, technical knowledge shared in SMEs and informal sector

91. This output will support human resources and technicians of the sector mentioned in Part III of Annex C (textile, tanneries and waste oil refineries) to enable them enhance process efficiency by reducing, avoiding and eliminating UP-POPs releases and preventing or reducing releases of other chemical pollutants by coordinating the implementation of the Stockholm Convention action plans mentioned in the NIPs of the countries. The focus will also be in the SMEs and the informal sector that are dealing with industrial waste streams.

Activities	Responsibility
<i>Activity 1.2.1:</i> Carry out training workshops in BAT/ BEP in textile dyeing and finishing	UNIDO, Academia, NCPCs, SC Centres and BCRCs
<i>Activity 1.2.2:</i> Carry out training workshops in BAT/ BEP in leather dyeing and finishing	UNIDO, Academia, NCPCs, SC Centres and BCRCs
<i>Activity 1.2.3:</i> Carry out training workshops in BAT/ BEP in waste oil refinery	UNIDO, Academia, NCPCs, SC Centres and BCRCs
<i>Activity 1.2.4:</i> Undertake targeted awareness raising campaigns in BAT/BEP for informal sector	UNIDO, NGOs, NCPCs, SC Centres, and BCRCs

Output 1.3: BAT/BEP in textile and leather dyeing and finishing and waste oil refinery source categories initiated

92. A series of pilot demonstration will take place in selected countries as a follow-up to the training results of Output 1.1 to ensure that in each sub-region the selected demonstration sites will remain as a learning node for the countries to replicate. SCCs, BCRCs and NCCPs will be used to replicate these pilots and also integrate issues of UP-POPs with cleaner production activities in the industry and review and possibly improve national policies and regulations as feedback to decision makers based on the results of these actions.

Activities	Responsibility
<i>Activity 1.3.1:</i> Carry out pilot demonstration of BAT/ BEP in textile dyeing and finishing	UNIDO, Academia, Industry, NCCPs, SC Centres and BCRCs
<i>Activity 1.3.2:</i> Carry out pilot demonstration of BAT/ BEP in leather dyeing and finishing	UNIDO, Academia, Industry, NCCPs, SC Centres and BCRCs
<i>Activity 1.3.3:</i> Carry out pilot demonstration of BAT/ BEP in waste oil refinery	UNIDO, Academia, Industry, NCCPs, SC Centres and BCRCs

Outcome 2: Reduction of exposure to POPs at workplace and from waste**Output 2.1: 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)**

93. Existing national waste and chemicals management plans need to be adapted to accommodate the new issues related to POPs waste prevention and management. Particular attention would be given to measures aiming at reducing POPs exposure risks of the citizens working in the informal sector through introduction of best available techniques and best environmental practices in health-care, solid municipal waste management, and promotion of ready-to-use bio-botanical pesticides in urban agriculture. Specifically, for health-care waste management linkages will be established with GEF/UNDP demonstration project for updating and adaptation of training manuals developed by the project and also for demonstrating an ESM option through a pilot scale.

Activities	Responsibility
<i>Activity 2.1.1</i> Organise national awareness raising workshops on cleaner waste management with the aim to promote business and job opportunities in the field of waste management	NGOs, SC centres and BCRCs, NIP focal points, UNIDO
<i>Activity 2.1.2</i> Organise a sub-regional training workshop for waste management personnel with special focus on risk reduction and concept of cleaner municipal solid and health care waste management.	SC focal point, BCRCs, NCC, UNIDO through providing international experts
<i>Activity 2.1.3</i> Support the establishment of a regional programme for training on cleaner municipal solid waste and health care waste management through the BCRC, Cleaner production Centres and/or the Stockholm Convention Technical centres as appropriate	UNIDO, BCRCs, NCCP, SC Centres
<i>Activity 2.1.4 :</i> Update and adapt the health care management manual developed under GEF/ UNDP demonstration project for training purposes in medical health schools	NIP-NCC, National experts subcontracted, Academia and schools, Ministry of Education
<i>Activity 2.1.5:</i> Carry out pilot demonstration of cleaner health care waste management based on the lessons learned from GEF/UNDP demonstration project and support replication activities in the Sub-region	UNIDO, NGOs, BCRCs, Cleaner production centres, Stockholm Convention centres

Output 2.2: Bio-botanical pesticide produced and formulated in agriculture including market gardening in urban areas through existing south-south cooperation programmes and with the participation of an association of market gardeners (alternatives to Annex A pesticides)

94. When considering mitigation strategies particular attention should be given to informal activities suspected to have a certain POPs emission potential even though it is not yet conveniently quantified. The activities within the informal sector, which might pose health risks to the workers and the population in general, include market gardening in urban areas. Informal sector may use and trade POPs pesticides. Output 2.2 in cooperation with a specialized pesticides research institution focuses in supporting the sector through introducing bio-pesticides to reduce risks emanating from such practices. Developing and promoting the use of bio-pesticides in this project is in line with the prevention measures to be put in place within the framework of the GEF/FAO ASP programme on the elimination of obsolete stockpiles of pesticides. In 1992, UNIDO has established the Regional Network for Pesticides Formulation in Asia and Pacific region (RENAPAP) and has developed several alternatives to POPs chemicals, which are readily used in Asia and the Pacific and is also available in European markets. Africa has not been able to penetrate the local market although some researches have been successfully piloted in many countries.

Activities	Responsibility
<i>Activity 2.2.1:</i> Organise (in cooperation with FAO / RENPAP / 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.	SC focal point, UNIDO, FAO, NGOs, Research centres
<i>Activity 2.2.2:</i> Review existing data and conduct national inventory of existing bio-pesticide formulations	UNIDO, SC focal point, Academia, Research centres
<i>Activity 2.2.3:</i> Facilitate field testing of bio-pesticides in cooperation with research institutions, RENPAP, FAO and farmer associations	NIP implementation Committee, Academia, Research centres, UNIDO
<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.	SC focal point, National consultants from research institutions, NGOs, UNIDO

Output 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, used paper and e-waste

95. The current informal practices prevailing in the recycling of decommissioned PCB electrical equipment, the very widespread use of plastic bags and various electronic equipment and the like have generated a huge amount of hazardous waste. These will require ESM to reduce the risk of exposure to PCBs and UP-POPs. Output 2.3 is built on activities which will result in a scaling-up of the current informal practices to ESM based micro and small enterprises making use of a realistic PPP model (public sector will enact the laws and licensing policies and the private sector will perform the market based operations). The output would target on certain recyclable wastes and organize this sector needs and eventually render formal the informal activities and current recycling practices through enterprise development.

Activities	Responsibility
<i>Activity 2.3.1:</i> Identify the informal collection system of PCBs and used oil and perform environmental audits to determine the need for enhancing collection and channelling of the PCBs streams on an ESM manner in line with GEF/UNEP Pilot Project in the Sub-region.	UNIDO, National project team, national consultants, power utilities

Activities	Responsibility
<i>Activity 2.3.2:</i> Conduct a survey on existing concepts for plastic waste management including the reuse of waste plastic bags as raw material for various articles (bags, ropes, civil engineering materials etc.).	National project team, UNIDO Academia
<i>Activity 2.3.3:</i> Develop a concept for plastic waste management including the reuse of waste plastic bags as raw material for various articles (bags, ropes, civil engineering materials, etc.)	National project team, UNIDO Private investors
<i>Activity 2.3.4:</i> Support the creation of a national Micro- or Small Enterprise for an environmentally sound recycling of plastic bags	UNIDO, National project team, Academia
<i>Activity 2.3.5:</i> Investigate the current informal paper and e-waste management and the management of other halogenated solid and liquid waste	NIP Focal point, NCC, UNIDO, Research institutions, NGOs
<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	SC Focal points, NCC, Research institutions
<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	SC Focal Point, NCC, Governments, private

96. The above activities explain the systematic preventive approach to dioxins reduction through precursors reduction and carry these tasks of pilots with all the detailed technical and health protection aspects to workers and the surrounding environment. UNIDO and UNEP have developed models for waste management for Africa and these models will be used to guide these pilot demonstration efforts.

Outcome 3: Identification and assessment of contaminated sites

Output 3.1: Site identification strategies, protocols and guidelines formulated and applied in the sub-region based on the UNIDO toolkit.

97. UNIDO has developed the toolkit for the management of contaminated sites including examples from some African countries. Site identification measures will be introduced and applied, and site remediation plans following an environmental sound approach will be developed. Countries have identified the hotspots to be addressed by the proposed project and reflected these in the NIP documents knowing that GEF funds will not be used for remediation purposes of all hotspots even though the project will help develop and support planning measures.
98. During the PPG phase, the countries have opted for low cost remediation technologies, which are based on the maximum economic use of available 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., measure 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. Upon availability of donor resources, countries may be encouraged to proceed for expensive remediation technologies that would unlikely be replicated.

Activities	Responsibility
<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	UNIDO, Academia, NCPCs, SC Centres, institutions responsible for environment

Activities	Responsibility
<i>Activity 3.1.2:</i> Develop methodology for the selection of economically feasible and environmentally sound POPs contaminated site remediation technologies	UNIDO, Academia, NCPCs, SC Centres institutions responsible for environment,
<i>Activity 3.1.3:</i> Conduct study to identify environmentally sound remediation technologies or benign ways of cleaning up of the contaminated sites	UNIDO, Academia, Industry, NCPCs, SC Centres, institutions responsible for environment
<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	UNIDO, Academia, Industry, NCPCs, SC Centres, institutions responsible for environment
<i>Activity 3.1.5:</i> Prepare contaminated site remediation plans of the identified hot spots in the sub-region.	UNIDO, Academia, Industry, NCPCs, SC Centres, institutions responsible for environment

Output 3.2: Capacity to manage the contaminated sites strengthened

99. Several public awareness campaigns will be carried out to sensitize stakeholders and mobilize resources for building capacities and strengthen the technical capabilities.

Activities	Responsibility
<i>Activity 3.2.1:</i> Launch training workshop, using UNIDO toolkit, to experts from the relevant institutions to enable them collect scientific data from contaminated sites and assess potential risks to humans, wildlife and the environment	UNIDO, Academia, NCPCs, SC Centres
<i>Activity 3.2.2:</i> Create data base and website within the SADC Sub-region, linked to UNIDO website, to share and disseminate data/information collected from contaminated sites and hot spots	UNIDO, Academia, NCPCs, SC Centres
<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	UNIDO, NGOs, NCPCs, SC Centres
<i>Activity 3.2.4:</i> Assess aspects of involvement of technology providers for the development of public-private partnerships in managing contaminated sites	UNIDO, Industry, Academia, NCPCs, SC Centres
<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	UNIDO, NCPCs, SC Centres, institution responsible for environment, Private sector

Outcome 4: Establishment of Project Management System and Project M&E mechanisms and mobilization of additional resources

Output 4.1: Project management structure established

Outputs/Activities	Responsibility
<i>Activity 4.1.1:</i> Establish PMO and recruit National Project Coordinator (NPC) and project support staff	UNIDO/UNEP, stakeholders and Governments
<i>Activity 4.1.2:</i> Organize HLMCG and TCG at the sub-regional level	Governments, UNIDO /UNEP
<i>Activity 4.1.3:</i> Reinstate and/or support the existing POPs Coordination Units at the national level	UNIDO /UNEP and Governments

Outputs/Activities	Responsibility
<i>Activity 4.1.4:</i> Reinstate and strengthen the national POPs technical committees and project management offices that use to exist during the NIP preparation	UNIDO/ UNEP and Governments

Output 4.2: M&E framework designed and implemented according to GEF M&E procedures

Outputs/Activities	Responsibility
<i>Activity 4.2.1:</i> Organize Inception workshop and prepare Inception report at the sub-regional level	UNIDO, PMO, stakeholders
<i>Activity 4.2.2:</i> Measure impact indicators on an annual basis	Consultants, Subcontractor
<i>Activity 4.2.3:</i> Prepare quarterly and annual Project progress reports at the national, sub-regional level	National project team, UNIDO
<i>Activity 4.2.4:</i> Hold annual SRSC meetings	UNIDO, SRSC, stakeholders
<i>Activity 4.2.5:</i> Hold annual Tripartite Review meetings	UNEP/UNIDO/GEF
<i>Activity 4.2.6:</i> Carry out mid-term external evaluation	UNIDO, Consultants
<i>Activity 4.2.7:</i> Carry out annual project financial audits	UNIDO, Consultants
<i>Activity 4.2.8:</i> Carry out annual visits to selected field sites	UNIDO, Consultants, NCPCs
<i>Activity 4.2.9:</i> Establish a project management information system (MIS), including project website to disseminate information to stakeholders	UNIDO, consultants
<i>Activity 4.2.10:</i> Carry out final external evaluation	UNIDO, consultants
<i>Activity 4.2.11:</i> Complete Project Terminal Report	UNIDO/ and consultants

Output 4.3: Additional resources to supplement project budget deficiencies mobilized

Outputs/Activities	Responsibility
<i>Activity 4.3.1:</i> Organize donors (government, private sector etc.) conference to mobilize additional resources to implement project activities	Governments, UNIDO/UNEP, SRSC
<i>Activity 4.3.2:</i> Sensitize law makers and decision makers for governments to allocate more resources to implement project activities	Governments, National Project Team
<i>Activity 4.3.3:</i> Put in place a system that will generate resources for managing POPs by introducing polluters pay principles and corporate producer responsibilities	Governments, PMO

C6. TIMELINE OF THE ACTIVITIES

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Outcome 1 : Introduction of BAT/BEP in industrial production processes mentioned in Annex C of Article 5 of the Convention																				
Output 1.1: Regional SADC BAT/BEP Forum established																				
Activity 1.1.1 Convene a workshop to prepare Declaration for the establishment of the SADC sub-regional BAT/BEP Forum																				
Activity 1.1.2 Launch the Regional Forum for the development and formulation of a regional action plan on BAT/BEP																				
Activity 1.1.3 Assist in enhancing industry performance in the region in conformity with the BAT/BEP guidelines and provisional guidance document																				
Activity 1.1.4 Develop partnerships in the region for successful implementation of the regional action plan																				
Output 1.2: Human resources for BAT/BEP developed, technical knowledge shared in SMEs and the informal sector																				
Activity 1.2.1: Carry out training workshops in BAT/ BEP in textile dyeing and finishing																				
Activity 1.2.2: Carry out training workshops in BAT/ BEP in leather dyeing and finishing																				
Activity 1.2.3: Carry out training workshops in BAT/ BEP in waste oil refinery																				

Section C: The Project

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Activity 1.2.4: Undertake targeted awareness raising campaigns in BAT/BEP for informal sector																				
Output 1.3: BAT/BEP in textile and leather dyeing and finishing, in waste oil refinery and in food smoke-curing source categories initiated																				
Activity 1.3.1: Carry out pilot demonstration of BAT/ BEP in textile dyeing and finishing																				
Activity 1.3.2: Carry out pilot demonstration of BAT/ BEP in leather dying and finishing																				
Activity 1.3.3: Carry out pilot demonstration of BAT/ BEP in waste oil refinery																				
Outcome 2 : Reduction of exposure to POPs at workplace and from waste																				
Output 2.1: Concept of cleaner municipal solid waste management system introduced																				
Activity 2.1.1 Organise national awareness raising workshops on "Cleaner Waste Management" with the aim to promote business and job opportunities in the field of waste management.																				
Activity 2.1.2 Organise a sub-regional training workshop for waste management personnel with special focus on risk reduction and concept of "Cleaner Municipal solid and Health-care Waste Management"																				
Activity 2.1.3 Support the establishment of a regional programme for training on cleaner MSW and HCW management																				

Section C: The Project

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<i>Activity 2.1.4: Update and adapt the HCW management manual developed under the GEF/UNDP demonstration project for training purposes in medical health schools</i>																				
<i>Activity 2.1.5: Carry out pilot demonstration of cleaner HCW management based on the lessons learnt from the GEF/UNDP demonstration project and support replication activities in the sub-region</i>																				
Output 2.2 Bio-botanical pesticides produced and formulated in agriculture including market-gardening in urban areas																				
<i>Activity 2.2.1: Organise (in cooperation with FAO / RENPAP / MOA) national training workshops for market gardeners on integrated pest management</i>																				
<i>Activity 2.2.2: Review existing data and conduct national inventory of existing bio-pesticides formulations</i>																				
<i>Activity 2.2.3: Facilitate field testing of bio-pesticides in cooperation with research institutions, RENPAP, FAO and farmers associations</i>																				
<i>Activity 2.2.4: Support PPP model for the creation of a national Micro- or Small Enterprise to produce and promote the use of bio-botanical pesticide</i>																				
Output 2. 3: Informal recycling systems of PCBs, plastics, paper, e-waste and halogenated solid and liquid wastes enhanced and scaled up to a Micro- and small enterprises																				

Section C: The Project

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<i>Activity 2.3.1: Identify the informal collection system of PCBs waste and used oil and perform environmental audits to determine the need for enhancing collection and channelling of the PCBs waste streams on an ESM manner in line with the GEF/UNDP Pilot project in the sub-region.</i>																				
<i>Activity 2.3.2: Conduct a survey on existing concepts for plastic waste management including reuse of waste plastic bags as raw material for various articles</i>																				
<i>Activity 2.3.3: Develop a concept for plastic waste management including the reuse of waste plastic bags as raw material for various articles</i>																				
<i>Activity 2.3.4: Support the creation of a national Micro- or Small Enterprise for an environmentally sound recycling of plastic bags</i>																				
<i>Activity 2.3.5: Investigate the current informal used paper and e-waste management as well as other halogenated solid and liquid waste streams</i>																				
<i>Activity 2.3.6: Provide support for activities to prevent illegal dumping and open burning of used papers and other halogenated solid and liquid wastes</i>																				
<i>Activity 2.3.7: Support PPP model for creation of a Micro- or Small Enterprise for an environmentally sound recycling of used paper and e-wastes in the sub-region.</i>																				

Section C: The Project

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Outcome 3 : Identification and assessment of contaminated Land/sites																				
Output 3.1: Contaminated sites identification strategies ,protocols and guidelines formulated and applied in the Sub-region based on the UNIDO Toolkit																				
<i>Activity 3.1.1: Prepare manuals, procedures, protocols and guidelines for local use for the identified POPs contaminated sites</i>																				
<i>Activity 3.1.2: Develop methodology for the selection of economically feasible and environmentally sound POPs contaminated site remediation technologies</i>																				
<i>Activity 3.1.3: Conduct study to identify environmentally sound remediation technologies or benign ways of cleaning up of the contaminated sites</i>																				
<i>Activity 3.1.4: Undertake pilot demonstration project to verify the effectiveness of the low cost remediation technology and validate contaminated site identification methodology</i>																				
<i>Activity 3.1.5: Prepare contaminated site remediation plans of the identified hot spots in the sub-region.</i>																				
Output 3.2: Capacity to manage contaminated sites strengthened																				
<i>Activity 3.2.1: Launch training workshop, using UNIDO Toolkit and the FAO manuals and guidelines, to experts from relevant institutions to enable them collect scientific data from contaminated sites</i>																				

Section C: The Project

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
<i>Activity 3.2.2: 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</i>																				
<i>Activity 3.2.3: Raise awareness among the major stakeholders on the health risk that may result from exposure to POPs contaminated sites</i>																				
<i>Activity 3.2.4: Assess aspects of involvement of technology providers for the development of PPP in managing contaminated land/sites</i>																				
<i>Activity 3.2.5: Develop mechanism to mobilize funds from within the SADC member states for the remediation of contaminated sites to ensure project sustainability</i>																				
Outcome 4: Establishment of project management structure and project M&E mechanism																				
Output 4.1: Project management established and made operational																				
<i>Activity 4.1.1: Establish PMO and recruit National Project Coordinator and project support staff</i>																				
<i>Activity 4.1.2: Organize HLMCG and TCG at sub-regional level</i>																				
<i>Activity 4.1.3: Reinstate and/or support the existing POPs/NIP Coordination Units and technical committees at national level</i>																				
<i>Activity 4.1.4: Carry out routine project management activities</i>																				

Section C: The Project

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Output 4.2: M&E framework designed and implemented according to GEF M&E procedures																				
Activity 4.2.1 : Organize inception workshop and prepare inception report																				
Activity 4.2.2: Measure impact indicators on an annual basis																				
Activity 4.2.3: Prepare quarterly and annual Project progress reports																				
Activity 4.2.4: Hold annual SRSC meetings																				
Activity 4.2.5: Hold annual Tripartite Review meetings																				
Activity 4.2.6: Carry out mid-term external evaluation																				
Activity 4.2.7: Carry out annual project financial audits																				
Activity 4.2.8: Carry out annual visits to selected field sites																				
Activity 4.2.9: Establish a project management information system (MIS), including project website to disseminate information to stakeholders																				
Activity 4.2.10: Carry out final external evaluation																				
Activity 4.2.11: Complete Project Terminal Report																				
Output 4.3: Additional resources mobilized to supplement project budget deficiencies																				
Activity 4.3.1: Organize donors (government, private sector, etc.) conference to mobilize additional resources to implement project activities																				

Section C: The Project

Outcome/Output/Activity	Year 1				Year 2				Year 3				Year 4				Year 5			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Activity 4.3.2 Sensitize law makers and decision makers for governments to allocate more resources to implement project activities																				
Activity 4.3.3 Establish a system that will generate resources for managing POPs by introducing polluters pay principles and corporate producer responsibilities																				

C.7 RISKS, SUSTAINABILITY, REPLICABILITY AND COST-EFFECTIVENESS**Possible Risks**

100. Potential risks and the mitigation measures to be taken into account for this project are described in the table below.

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 PPP	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

Potential Risks	Proposed Mitigation Measures	Rating
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

Sustainability, Replicability and Cost-effectiveness

Sustainability

101. Sustainability implies not only the commitment of the SADC/LDCs Governments and their development of a NIPs that provide initiatives to mainstream the objectives of the Convention into the nations broader development policies and strategies, but also its initiation on the basic and sustainable capacity building that will be able to ensure SADC/LDCs move successfully from development to the subsequent implementation of its plan.
102. The project aims to establish basic, foundational and permanent capacities in view of the obligations of the Convention's implementation. Project sustainability will be assured through a combination of the following: integration of the requirements of the Convention into the policy framework, active participation of stakeholders, institutional strengthening of the capacity for enforcement, establishment and/or strengthening of the capacity in the fields of monitoring, R&D, technology transfer, management information system and reporting and raising awareness among various stakeholders. It is expected that sustainability would be reached, characterised by the following:
 - The obligations under the Convention are integrated into the existing environmental and chemicals management policies, national standards and guidelines accordingly.
 - Enforcement capacities are strengthened and the requirements on management, inspection and supervision of POPs issues are taken into the routine tasks by relevant administrations.
 - Relevant stakeholders are getting acquainted with the obligations of the Convention and are willing to take actions as required through various trainings.
 - The established mechanism between CIO and the main R&D financial sources for the purpose that the priority of the POPs R&D may be taken into consideration as the priority field of support.
 - A permanent platform established for technology transfer promotion.
 - The information collection channels established for the chemicals listed in Annex A and B of the Convention.
 - MIS in central level established and/or enhanced.
 - POPs concept are integrated in the education at all levels from kindergarten to university, as well as in education of teachers.
 - POPs issues come up from time to time in the public debate and participants from research, labour, industry and public interest have good access and knowledge to participate well in the debate.

- There is, as far as practicable, interplay between the capacity building for POPs with capacity building for other environmental issues and for the nation's broader development policies and strategies.
- During the third year of this project, a manual on POPs Management and Control will be compiled to integrate the relevant policy, experiences and lessons gained during the implementation of this project, and the experiences and lessons learned will be summarized and disseminated to other areas in the SADC Sub-region and other countries pending such experiences through a dissemination workshop and POPs website. Nevertheless, it is recognized that capacity building and institutional strengthening proposed in this project could not cover all the scope of the capacity due to the complexity of the measures on POPs control and the consequent development of the obligation under the Convention. For this reason, this project will help to develop and invite donor support for a proposal for the future capacity building programme, which will be based on the experiences gained and the broadened obligations in order to enable the SADC/LDCs to meet their obligations under the Convention continuously. This will assure the sustainability and continuous employment of locally recruited project personnel in order to continue their respective activities focusing on country-wide replication of project results and the Government will give commitment to keep them on payroll. With such an arrangement important institutional structures will also be sustainable.

Replicability

103. The project is attempting to improve the policy systems related to chemicals and pesticides with the requirements of POPs in mind. Meanwhile, it will strengthen the enforcement and implementation capacity in the LDCs of SADC Sub-region. The approach and outputs achieved will be appropriate to replicate them in other countries.
104. At this stage it is not sure if the governments of LDCs in the SADC Sub-region committed to move ahead with replication as the existing policy and regulatory framework for POPs is incomplete and does not allow the effective and efficient implementation of the Stockholm Convention's obligations. The project is designed to enable the SADC/LDCs to establish the basic and foundational capacity for the Convention implementation and to test the advanced approaches at the pilot demonstration project in order to further strengthen the systemic enforcement and/or implementation capacity in all SADC/LDCs. The feasible experiences gained at the pilot demonstration project would be disseminated to other countries in the SADC Sub-region.
105. The proposed project will establish the pertinent capacity with regard to all the categories of POPs, including intentionally produced POPs, unintentionally produced POPs, POPs wastes and contaminate sites. In addition to introducing the actions, achievements and progress in the website as an important delivery of this project, a manual on POPs management and control will be compiled to integrate the policies and the experiences gained. A dissemination workshop is planned to introduce the experiences gained to the interested stakeholders and participants from other countries, with a view to promoting the replication of the experiences with suitable modification to other countries.
106. Furthermore, the effective approaches to implement such project with multi-level objectives, and broad stakeholder participation will be a good example for similar project implementation, especially, for the implementation of a further capacity building project.

Cost-effectiveness

107. 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.
108. 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.

109. 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.

SECTION D. INPUTS

D.1. COUNTERPARTS INPUTS

Incremental Cost and project financing

110. The GEF, as the financial mechanism for the Stockholm Convention will provide a proposed budget of US\$ 1,500,000 incremental cost funding for the project. The Governments of the LDCs/SADC Member States will contribute a total of US\$ 400,000 in cash and US\$ 800,000 in kind during the project period of five years. The above-mentioned co-financing contributions from the member countries will be divided equally between UNEP and UNIDO as shown in E.2 (Co-financing budget). Other agencies such as the Stockholm Convention, SAICM, AUC, etc. will also support the project through training and other financial/technical support amounting to US\$ 530,864 (cash/in-kind).

Baseline

111. 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
112. 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.

Alternative

113. 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.
114. **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 SO₂, NO_x CO₂ 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.
115. **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 different sectors, support the management of contaminated soil and help in the reduction of the overall pollution load of LDCs to the global environment and hence increase global benefits.
116. During the NIP and the global SC Secretariat efforts, several training sessions have been carried out in the countries of the subregion and some of these were held in developed countries and 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\$

Output	Baseline	Increment	Alternative
Outcome 1: 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
Outcome 2: 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
Outcome 3: Identification and assessment of contaminated land/sites	841,864	349,100	1,190,964
Outcome 4: Establishment of project management and project M&E mechanisms	302000	150,000	452,000
TOTAL	1,830,864	1,500,000	3,330,864

D.2. UNIDO INPUTS

117. UNIDO will provide an in-kind contribution of US\$ 700,000 for Outcome 3 and 4 including its core activities in Africa as well as managerial and technical oversight and supervision to project management, M&E and other costs of two senior and one junior UNIDO staff will be assigned at the project management office to coordinate liaison countries in the Sub-region with SADC in relation to project implementation. During project implementation, UNIDO will continue to leverage funding for the project from relevant donors.

SECTION E: PROJECT BUDGET

E.1 Project Budget in US\$(GEF)

Outputs	Budget lines	Description	Year 1		Year 2		Year 3		Year 4		Year 5		Total	
			US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m
Output 1.1: Regional SADC BAT/BEP Forum established	11-00	Short-term consultants	8,000	1.0	8,000	1.0	8,000	1.0	8,000	1.0			32,000	4.0
	15-00	Project travel	4,000		3,800		5,000		3,800				16,600	
	17-00	National consultants	12,000	6.0			20,000	10.0					20,000	16.0
	35-00	Workshops/meetings	10,000				10,000						20,000	
	Sub-total		34,000	7.0	11,800	1.0	43,000	11.0	11,800	1.0			100,600	20.0
Output 1.2 : Human resources for sustainable introduction of BAT/BEP developed, technical knowledge shared in SMEs and in the informal sector	11-00	Short-term consultants	8,000	1.0			8,000	1.0					16,000	2.0
	15-00	Project travel	4,000				4,000						8,000	
	17-00	National consultants	12,000	6.0			12,000	6.0					24,000	12.0
	33-00	In-service training			25,000				25,000				50,000	
	35-00	Workshop/meeting	7,500				7,500						15,000	
	Sub-total		31,500	7.0	25,000		31,500	7.0	25,000				113,000	14.0
Output 1.3 : BAT/BEP in textile and leather dyeing and finishing and in waste oil refinery source categories initiated	11-00	Short-term consultants			8,000	1.0			8,000	1.0			16,000	2.0
	15-00	Project travel			4,000				4,000				8,000	
	17-00	National consultants			12,000	6.0			12,000	6.0			24,000	12.0
	21-00	Subcontract			250,000				200,000				450,000	
	Sub-total				274,000	7.0			224,000	7.0			498,000	14.0
TOTAL OUTCOME 1			65,500	14.0	310,800	8.0	74,500	18.0	260,800	8.0			711,600	48.0

Section E: Project Budget

Outputs	Budget lines	Description	Year 1		Year 2		Year 3		Year 4		Year 5		Total	
			US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m
Output 2.1 “Cleaner Solid Municipal Waste Management System” concept introduced	11-00	Short-term consultants			8,000	1.0	8,000	1.0					16,000	2.0
	15-00	Project travel			3,000		4,000		2,000				9,000	
	17-00	National consultants					6,000	3.0	6,000	3.0			12,000	6.0
	35-00	Workshop/meeting					20,000						20,000	
	51-00	Translation/printing					3,000		2,800				5,800	
	Subtotal				11,000	1.0	41,000	4.0	10,800	3.0			62,800	8.0
Output 2.2: Bio-pesticides produced and promoted and in market gardening in urban areas	11-00	Short-term consultants			8,000	1.0			8,000	1.0			16,000	2.0
	15-00	Project travel			4,000				4,000				10,000	
	17-00	National consultants			6,000	3.0			6,000	3.0			12,000	6.0
	21-00	Subcontract							75,000				75,000	
	35-00	Workshop/meeting							17,000				15,000	
	Subtotal				18,000	4.0			110,000	4.0			128,000	8.0
Output 2.3: Strategy to formalize and scale up informal recycling systems of PCBs, plastics, used paper, e-waste and halogenated solid and liquid wastes to micro- or small enterprise (MSE) developed	11-00	Short-term consultants	16,000	2.0					8,000	1.0			24,000	3.0
	15-00	Project travel	5,000		3,500				5,000				13,500	
	17-00	National consultants	12,000	6.0	12,000	6.0			12,000	6.0			36,000	18.0
	33-00	In-service training					25,000						25,000	
	Subtotal		33,000	8.0	15,500	6.0	25,000		25,000	7.0			98,500	21.0
TOTAL OUTCOME 2			33,000	8.0	44,500	11.0	68,000	4.0	143,800	14.0			289,300	37.0

Section E: Project Budget

Outputs	Budget lines	Description	Year 1		Year 2		Year 3		Year 4		Year 5		Total	
			US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m
Output 3.1: Site identification strategies, protocols and guidelines formulated and applied based on UNIDO toolkits	11-00	Short-term consultants	8,000	1.0	8,000	10							16,000	2.0
	15-00	Project travel	6,000		6,000								12,000	
	17-00	National consultants	10,000	5.0	10,000	5.0							20,000	10.0
	21-00	Subcontract			105,000				31,500				136,500	
	51-00	Translation/printing	4,000		4,000								8,000	
	Subtotal		28,000	6.0	133,000	6.0			31,500				192,500	12.0
Output 3.2: Capacity to manage the contaminated sites strengthened	11-00	Short-term consultants	16,000	2.0					16,000	2.0			32,000	4.0
	15-00	Project travel	5,000		5,000		5,000		5,000				20,000	
	17-00	National consultants	10,000	5.0	10,000	5.0	10,000	5.0	10,000	5.0			40,000	20.0
	33-00	In-service training			30,000				30,000				60,000	
	51-00	Translation/printing	1,500				1,500		1,600				4,600	
	Subtotal		32,500	7.0	45,000	5.0	16,500	5.0	62,600	7.0			156,600	24.0
TOTAL OUT COME 3			60,500	13.0	178,000	11.0	16,500	5.0	94,100	7.0			349,100	36.0
Output 4.1: Project management structure established	11-00	Short-term consultants	4,000	0.5			4,000	0.5					8,000	2.0
	13-00	Personnel	2,000		2,000		2,000		2,000				8,000	
	15-00	Project travel	2,000				2,000						4,000	
	45-00	Equipment	10,000		10,000								20,000	
	Subtotal		18,000	0.5	12,000		8,000	0.5	2,000				40,000	1.0

Section E: Project Budget

Output	Budget Line	Budget Description	Year 1		Year 2		Year 3		Year 4		Year 5		TOTAL	
			US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m	US\$	w/m
Output 4.2: An M&E framework designed and implemented according to GEF M&E procedures	11-00	Short-term consultants	1,600	0.2			1,600	0.2			1,600	0.2	4,800	0.6
	15-00	Project travel	2,000		2,000		2,000		2,000		2,000		10,000	
	17-00	National consultants	2,000	1.0	1,000	0.5	2,000	1.0	1,000	0.5	2,000	1.0	8,000	3.0
	35-00	Workshop/meeting	10,000		5,000				5,000				20,000	
	51-00	Translation/printing	600		600		700		600		700		3,200	
	81-00	Monitoring and self-evaluation			5,000		10,000		5,000		10,000		30,000	
	82-00	Independent evaluation					12,000				12,000		24,000	
	Subtotal		16,200	1.0	13,600	0.5	28,300	1.0	13,600	0.5	28,300	1.0	100,000	4.6
Output 4.3: Additional resources mobilized to supplement project budget deficit	35-00	Workshop/meeting					5,000				5,000		10,000	
	Subtotal						5,000				5,000		10,000	
TOTAL OUTCOME 4			34,200	1.7	25,600	0.5	41,300	1.7	15,600	0.5	33,300	1.2	150,000	5.6
TOTAL PROJECT COSTS			193,200	37.0	558,900	30.5	200,300	29.0	514,300	29.5	33,300	1.2	1,500,000	127

Section E: Project Budget

E.2 CO-FINANCING BUDGET BY ACTIVITY (IN US\$)

Outcomes/Outputs/Activities	Cash co-financing (in US\$)		In-kind Co-financing (In US\$)			TOTAL (in US\$)
	SADC/LDCs	AUC	SADC/LDCs	SCS/SAICM	UNIDO	
Outcome 1: Introduction of BAT/BEP in industrial production process mentioned in Annex C of Article 5 of the Convention						367,000
Output 1.1: Regional SADC BAT/BEP Forum established						60,000
Activity 1.1.1 Convene workshop to prepare declaration for establishing the sub regional BAT/BEP forum	4,000		4,000	10,000		18,000
Activity 1.1.2 Launch the Sub-regional Forum for development and formulation a regional action plan on BAT/BEP	4,000		4,000	10,000		18,000
Activity 1.1.3 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	4,000		4,000	6,000		14,000
Activity 1.1.4 Develop partnership in the region for successful implementation of the regional action plan			4,000	6,000		10,000
Output 1.2: Human resources for BAT/BEP developed, technical knowledge shared in SMEs and informal sector						124,000
Activity 1.2.1: Carry out training workshops in BAT/ BEP in textile dyeing and finishing	8,000	5,000	8,000	10,000		31,000
Activity 1.2.2: Carry out training workshops in BAT/ BEP in leather dyeing and finishing	8,000	5,000	8,000	10,000		31,000
Activity 1.2.3: Carry out training workshops in BAT/ BEP in waste oil refinery	8,000	5,000	8,000	10,000		31,000
Activity 1.2.4: Undertake Targeted awareness raising campaigns in BET/BEP for the informal sector	8,000	5,000	8,000	10,000		31,000
Output 1.3: BAT/BEP in textile and leather drying and finishing and waste oil refinery source categories initiated						183,000
Activity 1.3.1: Carry out pilot demonstration of BAT/ BEP in textile dyeing and finishing	8,000		24,000	29,000		61,000
Activity 1.3.2: Carry out pilot demonstration of BAT/ BEP in leather dyeing and finishing	8,000		24,000	29,000		61,000
Activity 1.3.3: Carry out pilot demonstration of BAT/ BEP in waste oil refinery	8,000		24,000	29,000		614,000

Section E: Project Budget

Outcomes/Outputs/Activities	Cash co-financing (in US\$)		In-kind Co-financing (In US\$)			TOTAL (in US\$)
	SADC/LDCs	AUC	SADC/LDCs	SCS/SAICM	UNIDO	
Outcome 2: Reduction of exposure to POPs at workplace and close proximity to POPs wastes and UP-POPs emitting sources						320,000
Output 2.1: 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 at landfills)						134,000
Activity 2.1.1: Organize an awareness raising workshop on Cleaner waste management with the aim to promoting business and job opportunities in the field of waste management	4,000		8,000	12,000		24,000
Activity 2.1.2 :Organize sub-regional training workshop for trainers in waste management with a focus on risk deduction and the concept of cleaner municipal solid and health care waste management	4,000		8,000	20,000		32,000
Activity 2.1.3: Support the establishment of a regional programme for training on cleaner municipal solid and health care waste management	4,000		8,000	10,000		18,000
Activity 2.1.4: Update and adapt the manuals for training purposes in general on sound health-care waste management developed under GEF/UNDP demonstration project			8,000			8,000
Activity 2.1.5: Carry out pilot demonstration on cleaner health care waste management based on the lessons learnt from GEF/UNDP demonstration project and support replication activities in Sub-region	16,000		8,000	28,000		52,000
Output 2.2: Bio-pesticides produced and promoted in agriculture including market gardening in urban areas						102,000
Activity 2.2.1: Organise (in cooperation with FAO/RENPAP/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 plant pesticides	4,000		8,000	20,000		32,000
Activity 2.2.2: Review existing data and conduct national inventory of existing bio-pesticide formulations			8,000	8,000		16,000
Activity 2.2.3: Facilitate field testing of bio-pesticides in cooperation with research institutions, RENPAP, FAO and farmers associations			16,000	24,000		40,000
Activity 2.2.4: Support PPP model for the creation of a national Micro- or Small Enterprise to produce and promote the use of bio-botanical pesticides			8,000	6,000		14,000

Section E: Project Budget

Outcomes/Outputs/Activities	Cash co-financing (in US\$)		In-kind Co-financing (In US\$)			TOTAL (in US\$)
	SADC/LDCs	AUC	SADC/LDCs	SCS/SAICM	UNIDO	
Output 2.3 Strategy developed to audit ,formalize and scale-up to micro or small enterprises informal management practices of PCBs, solid and liquid waste, plastic waste, used paper and e-waste						84,000
Activity 2.3.1: Identify the informal collections system of PCBs waste and perform environmental audits to determine the need for enhancing collection and channelling of the PCBs streams in an ESM manner and in line with the GEF/UNDP pilot project in the Sub-region			4,000			4,000
Activity 2.3.2: Conduct a survey on existing concepts for plastic waste management including reuse of waste plastic bags as raw material for various articles			8,000			8,000
Activity 2.3.3: Develop a concept for plastic waste management including the reuse of waste plastic bags as raw material for making various articles		4,000	8,000			12,000
Activity 2.3.4: Support the creation of a micro or small enterprise for an environmentally sound recycling of plastic bags			8,000			8,000
Article 2.3.5: Investigate the current informal paper and e-waste management and the management of other halogenated solid and liquid waste streams			4,000		4,000	8,000
Activity 2.3.6: Provide support for activities to prevent illegal dumping and open burning of used paper and other halogenated wastes			8,000	10,000		18,000
Activity 2.3.7: Support model for creation of micro- or small enterprises for an environmentally sound recycling of used paper and e-waste in the Sub-region		8,000	8,000	10,000		26,000
Outcome 3: Identification and Assessment of contaminated sites						841,864
Output 3.1: Site identification strategies ,protocols and guidelines formulated and applied in the Sub region based on the UNIDO tool kit						500864
Activity 3.1.1: Prepare manuals, procedures, protocols and guidelines for local use for the identification of POPs contaminated sites and for conducting risk assessment of these sites	10,000		8,000	37,864	50,000	105,864
Activity 3.1.2: Develop methodology for the selection of economically feasible and environmentally sound POPs contaminated site remediation technologies	8,000		8,000	10,000	50,000	76,000

Section E: Project Budget

Outcomes/Outputs/Activities	Cash co-financing (in US\$)		In-kind Co-financing (In US\$)			TOTAL (in US\$)
	SADC/LDCs	AUC	SADC/LDCs	SCS/SAICM	UNIDO	
Activity 3.1.3: Conduct study to identify environmentally sound remediation technologies or benign ways of cleaning up of the contaminated sites			8,000	10,000	50,000	68,000
Activity 3.1.4 Undertake pilot demonstration project to verify the effectiveness of the low cost remediation technology and validate contaminated site identification methodology	16,000		8,000	40,000	115,000	179,000
Activity 3.1.5: Prepare contaminated site remediation plans of the identified hot spots in the sub-region			12,000	10,000	50,000	72,000
Output 3.2: Capacity to manage contaminated sites strengthened						341,000
Activity 3.2.1: Launch training workshop, using UNIDO toolkit and the FAOs and guidelines to experts from relevant institutions to enable them collect scientific data from contaminated sites and assess potential risks to humans, wildlife and the environment	4,000		8,000	26,000	50,000	88,000
Activity 3.2.2: Create data base and website within the SADC Sub region linked to UNIDO website, to share and disseminate data/information collected from contaminated sites and hot spots	2,000		8,000	6,000	30,000	46,000
Activity 3.2.3: Raise awareness among the major stakeholders, including decision makers, on the health risk that may result from exposure to POPs contaminated sites	4,000		8,000	40,000	50,000	102,000
Activity 3.2.4: Assess aspects of involvement of technology providers for the development of public private partnership in managing contaminated sites			8,000	10,000	25,000	43,000
Action 3.2.5: Develop mechanism to mobilize funds from within the SADC Member states for the remediation of contaminated sites to ensure project sustainability	4,000		8,000	10,000	40,000	62,000
Outcome 4: Establishment of project management and project M&E System						302,000
Output 4.1: Project management structure established						63,000
Activity 4.1.1: Establish Project Management Office and recruit National Project Coordinator and project support staff	4,000		8,000		15,000	27,000
Activity 4.1.2: Organize HLMCG and TCG at the sub regional level	4,000		4,000		20,000	28,000

Section E: Project Budget

Outcomes/Outputs/Activities	Cash co-financing (in US\$)		In-kind Co-financing (In US\$)			TOTAL (in US\$)
	SADC/LDCs	AUC	SADC/LDCs	SCS/SAICM	UNIDO	
Activity 4.1.3: Reinstate and /or support the existing POPs Coordination Units at the national level	4,000		4,000			8,000
Output 4.2: An M&E framework designed and implemented according to GEF M&E procedures						164,000
Activity 4.2.1: Organize Inception workshop and prepare Inception report	8,000		4,000		10,000	22,000
Activity 4.2.2: Measure impact indicators on an annual basis			8,000		24,000	32,000
Activity 4.2.3: Prepare Annual Project progress Reports and Project Implementation Reviews			2,000		5,000	7,000
Activity 4.2.4: Hold annual SRSC meetings	4,000		8,000		5,000	17,000
Activity 4.2.5: Carry out mid-term external evaluation					15,000	15,000
Activity 4.2.6: Carry out annual project financial audits			2,500		5,000	7,500
Activity 4.2.7: Carry out annual visits to selected field sites	4,000		4,000		24,000	32,000
Activity 4.2.8: Establish a project management information system (MIS), including project website to disseminate information to stakeholders	4,000		4,000		3,000	11,000
Activity 4.2.9: Carry out final external evaluation					15,000	15,000
Activity 4.2.10: Complete Project Terminal Report			1,500		4,000	5,500
Output 4.3: Additional resources mobilized to supplement project budget deficit						75,000
Activity 4.3.1: Organize donors (government, private sector etc.) conference to mobilize additional resources to implement project activities	4,000		6,000		15,000	25,000
Activity 4.3.2 Sensitize law makers and decision makers for governments to allocate more resources to implement project activities	4,000		6,000		15,000	25,000
Activity 4.3.3 Establish a system that will generate resources for managing POPs by introducing polluters pay principles and corporate producer responsibilities	4,000		6,000		15,000	25,000
TOTAL CO-FINANCING	200,000	20,000	400,000	510,864	700,000	1,830,864

SECTION F: MONITORING AND EVALUATION, REPORTING AND LESSONS LEARNED

Monitoring and Evaluation Plan

118. 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 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.
119. 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\$)	Time frame
Hold the project Inception workshop for SADC	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	
Total		100,000	

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

Project Inception phase

120. 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.
121. 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.
122. 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.
123. 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

125. 124. 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 Monitoring and Evaluation activities. 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 NPM will inform UNIDO of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely and remedial fashion.
126. 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.
127. 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.
 - 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

Section F: Monitoring and Evaluation, Reporting and Lessons Learned

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
128. 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.
129. 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

130. 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

131. 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
132. 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.
133. 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.

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(b) Annual Project Report

134. 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.
135. 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

136. 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 tool will be available during project implementation.

(d) Quarterly Progress Reports

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

(e) Periodic Thematic Reports

138. 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

139. 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.
140. 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. Monitoring and Evaluation (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.
141. 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,

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means of verification and sampling frequency for selected indicators are given below. These indicators will form the basis for the project's M&E system.

Selected indicators

Key Impact Indicator	Baseline	Target (at Year 4)	Means of Verification	Sampling frequency
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

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

Project Inception Workshop Report (PIWR)

143. The inception report will be prepared no later than three months after the project start-up.

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)

144. 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

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to TPR/TCG participants well in advance. Final APR/PIR will be submitted to GEF as per standard procedures.

145. UNIDO will arrange an independent international terminal evaluation of the project according to M&E procedures established by the GEF.

Lessons Learned

146. Within the overall framework of the Stockholm Convention implementation, the most extensive experience has been accumulated from the NIPs for the development of the project out comes and outputs, as shown in Table below:

Lessons learned from the NIP development

Lesson	Comments	Impact on the design of the project
There could have been more careful and realistic planning	Drafting was often delayed and made under extreme pressure	Project management specialists will be allocated to the project
Resources and tasks should be matched	There have been many comments that the budgets are underestimated	A special review of the budget allotments will be done before the Project Document is finalised, and priorities set to achieve a better match between tasks and budgets
The necessity of strong stakeholder support from all levels for a successful project	There was no time for dialogue with some industries, researchers e.g. in social sciences and public interest organisations	The design of stakeholder participation will be changed to encompass initial workshops involving a broader range of stakeholders
Continual efforts to foster and maintain working relationships between all project participants is necessary	Participants represented a wide range of competences and interests and some participants provided crucial information at a late stage	Early workshops on management and on information and communication will also foster a common approach and spirit
Strong technical and administrative personnel are keys to a successfully implemented project	Capacity should be strengthened at the initial phase of the project	Some capacity building efforts are specially designed to this end.

147. All outputs of the project deal with establishing a good management system for the NIP implementation. The experiences from these outputs will continuously be shared with the project management for the proposed project. Similarly, the experiences from other projects that have being implemented will be adopted.

SECTION G: PRIOR OBLIGATIONS AND PREREQUISITES

148. The Project Document will be signed by UNIDO and the Governments of the LCDs/SADC Member States. GEF assistance will also be provided subject to UNIDO being satisfied that the obligations and pre-requisites listed below have been fulfilled or are likely to be fulfilled. When fulfilment of one or more of these prerequisites fails to materialize, UNIDO may, at its discretion, either suspend or terminate its assistance.

G.1 PRIOR TO PROJECT EFFECTIVENESS

149. Legally binding co-financing agreements are signed for the private/public sector participating in the project.

G.2 DURING PROJECT IMPLEMENTATION

150. Annual Project Implementation Review report and Report of the Annual Review meeting will be prepared. The work plan and consequently the project budget will be updated annually on a regular basis.

SECTION H: LEGAL CONTEXT

151. Project document shall be the instrument referred to the Standard Basic Agreement between the Governments in the LDCs/SADC Sub-region and UNIDO. The project objectives shall be in line with the objectives of the Policies of the Governments of the SADC Member states.
152. The following types of revisions may be made to this Project Document with the signature of the Project Manager, provided he or she is likely assured that the other signatories of the Project Document have no objection to the changes as follows:
 - Revision in, or addition of, any of the annexes of the Project Document; and
 - Revisions that may not involve significant changes in the immediate subcomponents, objectives, outcomes or activities of the project, but are caused by rearrangement of the inputs already agreed to or by cost increases due to inflation.

Annex A: Project Logical Framework

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

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
Output 1.3: BAT/BEP in textile and leather dyeing and finishing and waste oil refinery source categories initiated	<ul style="list-style-type: none"> ➤ BAT/BEP introduced in two textiles, two tanneries and two oil refineries per country per year 	<ul style="list-style-type: none"> ➤ Detailed activity reports 	<ul style="list-style-type: none"> ➤ High cost involved in introducing BAT/BEP into the process ➤ Willingness of the part of the factories to introduce pilot projects
Activity 1.3.1: Carry out pilot demonstration of BAT/ BEP in textile dyeing and finishing Activity 1.3.2: Carry out pilot demonstration of BAT/ BEP in leather dyeing and finishing Activity 1.3.3: Carry out pilot demonstration of BAT/ BEP in waste oil refinery	<ul style="list-style-type: none"> ➤ Availability of at least one pilot demonstration in the textile sector in the sub-region ➤ Availability of at least one pilot demonstration in the leather sector in the sub-region ➤ Availability of at least one pilot demonstration in waste oil refinery sector in the sub-region 	<ul style="list-style-type: none"> ➤ Visit pilot demonstration sites 	
Outcome 2: Reduction of exposure to POPs at workplace and close proximity of POPs wastes and UP-POPs emitting sources			
Output 2.1 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)	<ul style="list-style-type: none"> ➤ Integrate Solid Municipal Waste Management system in national plans in each of the participating countries 	<ul style="list-style-type: none"> ➤ Copy of national plans on waste management system 	<ul style="list-style-type: none"> ➤ 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 ➤ Resistance from the part of smallholder farmers to use bio-botanical pesticides
Activity 2.1.1. Organize national awareness raising workshop on cleaner waste management with the aim to promote business and job opportunities in the field of waste management Activity 2.1.2 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 Activity 2.1.3 Support the establishment of a regional programme for training on cleaner	<ul style="list-style-type: none"> ➤ Minimum of two awareness raising workshops on solid municipal waste management organised for national and local decision makers per country ➤ At least one technical workshop held for waste management personnel at sub-regional level ➤ At least one sound municipal solid waste management option show case demonstrated ➤ Existence of regional programme on sound waste management ➤ Courses /modules related to waste management included in teaching programmes at school 	<ul style="list-style-type: none"> ➤ Workshop materials and proceedings ➤ Reports on the ongoing demonstration activities on selected site ➤ Document on the Regional Programmes for training on sound waste management ➤ School syllabus curriculum of education, Ministry of Health and Ministry of Environment collaborate to take the lead in the production 	<ul style="list-style-type: none"> ➤ Willingness and commitment of decision makers to promote implementation of sound waste management measures ➤ Personnel involved in solid municipal waste aware of the challenge of meeting sound waste management criteria and receives sufficient support from various waste management staffs to apply BAT/BEP in their daily job

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p>municipal solid waste and healthcare waste through the BCRC, CPCs and/or Stockholm Convention Technical centres as appropriate</p> <p>Activity 2.1.4 Update and adapt the healthcare management manual developed under the GEF/UNDP demonstration project for training purposes in medical health schools</p> <p>Activity 2.1.5 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"> ➤ Participating countries implementing a sound health-care waste management system at pilot scale 	<p>dissemination of the training manual</p> <ul style="list-style-type: none"> ➤ Pilot scale to implement the innovative strategy 	<ul style="list-style-type: none"> ➤ MSW management staff is stakeholder in the demonstration operation and is willing to integrate lessons learnt in the national waste management system ➤ Availability of qualified human resources to elaborate update and implement the training programme on a regular basis ➤ MoH has or elaborates a sound health-care waste management strategy and endeavours to implement it ➤ Mechanism in place for consultation among various factors involved at the hospital's level ➤ Management and coordination capacity exists and is operational
<p>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)</p>	<ul style="list-style-type: none"> ➤ At least two Micro- or small enterprises per country produce and market bio- botanical pesticides ➤ At least two informal waste recyclers per country are formalized to become Micro- or small enterprises 	<ul style="list-style-type: none"> ➤ Stores of bio- botanical pesticides providers ➤ Lack of resource to upgrade waste recycling of the informal sector to the formal sector 	<ul style="list-style-type: none"> ➤ Smallholder farmers 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
<p>Activity 2.2.1 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>Activity 2.2.2 Review existing data and conduct national inventory of existing bio-pesticides formulations</p> <p>Activity 2.2.3 Facilitate field testing of bio-pesticides in cooperation with research</p>	<ul style="list-style-type: none"> ➤ At least one awareness workshops per country to be held for smallholder farmers on integrated pest management and use of bio-botanical pesticides ➤ Availability of database in each country ➤ Inventory reports on pesticide plants in each country ➤ Availability of solid or liquid botanical pesticide in the market ➤ At least two producers per country using and/or willing to use individually or in co-operatives the new natural bio-botanical pesticide formulations 	<ul style="list-style-type: none"> ➤ Workshop reports ➤ Data base management report and Inventory reports ➤ Availability in the market ➤ Reports on field visits to enterprises producing bio-botanical pesticides ➤ Activity reports 	<ul style="list-style-type: none"> ➤ The academia, the MoA, MoE and various actors in urban and peri-urban agriculture collaborate to eliminate the usage of Annex A or Annex B pesticides in agriculture ➤ Organic agriculture is seen by the various actors as an opportunity for business ➤ Ministry of Agriculture promotes and supports integrated pest management in crop protection and post harvest management

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p>institutions, RENPAP, FAO and farmer associations</p> <p><i>Activity 2.2.4 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</i></p>	<ul style="list-style-type: none"> ➤ Research activities on field application of bio-pesticides for pest management ➤ Micro- or small enterprises producing and/or providing bio- pesticides 	<ul style="list-style-type: none"> ➤ 	<ul style="list-style-type: none"> ➤ Smuggling of non-registered pesticides controlled ➤ Bio-botanical pesticides are economically affordable
<p>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</p>	<ul style="list-style-type: none"> ➤ At least two informal waste recyclers per country are formalized to become Micro- or small enterprises 	<ul style="list-style-type: none"> ➤ Site visits to informal waste recycling system 	<ul style="list-style-type: none"> ➤ Lack of resources to upgrade waste recycling of the informal sector to the formal sector
<p>Activity 2.3.1 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>Activity 2.3.2 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> <p>Activity 2.3.3 Develop a concept for plastic waste management including the reuse of waste plastic bags as a raw material for various articles</p> <p>Activity 2.3.4 Support the creation of a national micro or small enterprises for an environmentally sound recycling of plastic bags</p> <p>Activity 2.3.5 Investigate the current informal paper and e-waste management and the management of other halogenated solid and liquid wastes</p>	<ul style="list-style-type: none"> ➤ Validated national Inventory audit report ➤ Concept paper on existing plastic waste management options developed ➤ 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 ➤ Existence of national/sub-regional micro- or small enterprise recycling paper and e-waste in an ESM manner ➤ Existence of such enterprises model in participating countries 	<ul style="list-style-type: none"> ➤ Inventory audit reports ➤ Stakeholders consultation reports ➤ Copy of Concept paper on plastic waste management ➤ Reports on site visit and field visit to the informal sector doing this activity ➤ Stakeholders consultation reports ➤ Inventory report 	<ul style="list-style-type: none"> ➤ 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. ➤ The academia and the various actors in the management of MSW 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 ➤ 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

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<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>			
Outcome 3: Identification and assessment of contaminated sites			
<p>Output 3.1: <i>Site identification strategies, protocols and guidelines formulated and applied in the Sub-region based on the UNIDO toolkit</i></p>	<ul style="list-style-type: none"> ➤ Existence of site identification strategies protocols and guidelines in each of the participating countries ➤ Soil and water analysis carried out to verify the effectiveness of the remediation technology at the pilot scale ➤ Existence of contaminated sites remediation plan in each country 	<ul style="list-style-type: none"> ➤ Remediation plan of the contaminated sites ➤ Report on the effectiveness of the demonstration pilot project ➤ Cost benefit analysis report on various mediation technology options 	<ul style="list-style-type: none"> ➤ Commitment of LDCs/SADC member states to clean up contaminated sites (hot spots) ➤ Least cost technologies may not always be efficient ➤ Willingness to host pilot demonstration project
<p>Activity 3.1.1 Prepare manuals, procedures, protocols and guidelines for local use for the identified POPs contaminated sites and for conducting and risk assessment of these sites</p> <p>Activity 3.1.2 Develop methodology for selection of economically feasible and environmentally sound POPs contaminated site remediation technologies</p> <p>Activity 3.1.3 Conduct study to identify environmentally sound remediation technologies or benign ways of cleaning up of the contaminated sites</p>	<ul style="list-style-type: none"> ➤ Physical presence of the strategy document ➤ Document that stipulate the step by step approach to select benign technology and cleanup of contaminated sites ➤ Cost benefit analysis on the effectiveness and viability of various remediation technologies ➤ Soil and water quality analysis results of samples taken from the cleaned up sites to verify efficiency and cost effectiveness of the remediation technologies ➤ Physical presence of contaminated site plans for the identified hot spots 	<ul style="list-style-type: none"> ➤ Letter of endorsement of the strategy and methodology documents by SADC member states ➤ Report on comparison of costs of various remediation technological options ➤ Soil and water quality analysis results of the samples taken from the cleaned up sites ➤ Analysis results from Central laboratories ➤ Institution responsible for the remediation of contaminated sites 	<ul style="list-style-type: none"> ➤ Stakeholders involvement during the process of formulating the strategy ➤ Stakeholders involvement during the process of formulating the methodology ➤ Resistance to use new technology on the part implementers ➤ Availability of reliable laboratory that can carry out the required analysis ➤ Availability of resources to implement those plans

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<p><i>Activity 3.1.4 Undertake pilot demonstration project to verify the effectiveness of the low cost remediation technology and validate contaminated site identification methodology</i></p> <p><i>Activity 3.1.5 Prepare contaminated site remediation plans of the identified hot spots in the sub-region</i></p>	➤	➤	➤
<p>Output 3.2: Capacity to manage the contaminated sites strengthened</p>	<ul style="list-style-type: none"> ➤ At least 5 personnel trained in each participating country in the management and remediation of contaminated from each country ➤ 50 % of the population in each country that are aware of the danger of contaminated sites to human health and environment ➤ Number of experts and stakeholders that regularly uses the website and data base from each country 	<ul style="list-style-type: none"> ➤ Proceedings of various training and awareness raising workshops ➤ Feed back from the data base and web site users on contaminated sites ➤ Report on water and soil sample results from the reclaimed site 	<ul style="list-style-type: none"> ➤ Create the enabling environment to put in place strategy and identify contaminated site
<p><i>Activity 3.2.1 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</i></p> <p><i>Activity 3.2.2 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</i></p> <p><i>Activity 3.2.3 Raise awareness among the major stakeholders, including decision makers, on the health risk that may result from exposure to POPs contaminated sites</i></p> <p><i>Activity 3.2.4 Assess aspects of involvement of technology providers for the development of PPP in managing contaminated sites</i></p>	<ul style="list-style-type: none"> ➤ Five experts trained with a capacity to manage POPs contaminated site in each participating country ➤ Participation of the private sector ➤ Suggestions and recommendations to remove barriers to market oriented operations ➤ Availability of fund for co-financing ➤ Number of workshops on fund raising ➤ Number of countries willing to replicate the pilot 	<ul style="list-style-type: none"> ➤ Training materials and training reports on contaminated sites ➤ Reports on incentives, risks, reasonable rate of return and copy of strategy report ➤ Workshop reports ➤ Reports on pilot demonstration projects in relation with policy development, incentives and PPP 	<ul style="list-style-type: none"> ➤ Experts that will participate in the workshop may not be the relevant experts ➤ Willingness of the Government to consider suggestions and recommendations by private investors on the strategy ➤ Willingness of stakeholders to participate in fund raising workshops

Annex A: Project Logical Framework

Intervention Logic	Objectively Verifiable Indicators	Sources of Verification	Assumptions and Risks
<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	➤	➤	➤

Annex B: Terms of References of consultants/experts

1. Post: Regional Coordinator

SCOPE OF WORK

The Regional Coordinator (RC), in consultation with UNIDO project manager and the project counterparts, will assist the Regional/National Focal Points. He/she is expected to coordinate all activities of the project linking both vertically and horizontally given in the project organizational chart. His/her office will be responsible for maintaining all files of the project, oversee the work of the NPC, maintain linkage with the R/NFPs and through it, with the Sub-Regional Steering Committee. He/she will assist international experts and organize regional workshops, training courses directly or through NFPs. He/she will make sure that all activities are performed in a timely manner in accordance with the work plan and will participate in SRSC meetings and submit reports as required. He/she will take active part in the M&E of the project and provide all assistance during mid-term and final evaluations. As given in the project document, he/she submit progress reports and make sure all necessary reports are submitted in a timely manner.

RC will provide technical assistance as follows:

- Assist NFPs and UNIDO project manager in overall technical support of other project activities including transfer of international experience in the application of BAT/BEP, reduction/elimination of POPs wastes, management of contaminated sites, etc. including establishment of training manuals and program in technical matters as well as monitoring and evaluation.
- Review TORs for individual experts and subcontracts, equipment specifications for procurement and implementation of project activities.
- Monitor progress against milestones and indicators set for the project implementation including preparation of TORs for project activities and project reports, and providing solutions to project critical tasks of the project implementation.
- Develop and formulate training materials of workshops and prepare workshop reports;
- Support to workshops and trainings: including participation in all important project workshops, introducing relevant international experience in the workshops, and reviewing and commenting all relevant deliverables of the workshops.
- Advise NPCs on project monitoring, evaluation, including providing comments and finalizing the English version of semi-annual progress reports on the ongoing activities, and annual action plan.
- Troubleshoot technical and implementation issues that may emerge.

DURATION

Initially 3.4 working months over a period of five years, splitting in regular missions. The number and duration of missions will be determined in the course of the project in accordance with the work plan. Additional time may be added to the contract if considered necessary.

Qualifications:

- Advanced Degree in engineering, chemistry or environmental sciences
- Extensive practical experience with reduction of PCDD/PCDF emissions
- Extensive knowledge of international situation of environmentally sound technology and equipment, especially the new cost-effective ones;
- Experience with implementation of international projects; and

- Good communication and writing skills in English;

The following qualifications will be helpful:

- PhD in a field directly related to POPs management and disposal would be an asset;
- Knowledge of the Stockholm Convention on POPs;
- Experience of working in the SADC sub-region.

2. Post: National Project Coordinator (NPC)

SCOPE OF WORK

The National Project Coordinator (NPC) will:

- Assist project officer, working in a team with the Regional Coordinator (RC) and other individual technical experts, in charge of all technical and management components of the Project. The Grant agreement, Project Document, Project Appraisal Document, Project Implementation Manual and Annual Action Plan are the basic documents to be referred to.
- Prepare the project's Annual Workplan and its indicators in consultation with UNIDO Project Manager and Sub-regional Steering Committee.
- Monitor the day-to-day project implementation progress against milestones and performance and impact indicators set for project implementation and 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
- Assist the Regional Coordinator (RC) in fine-tuning the progress and performance/impact indicators for the project in consultation with the project experts team
- Coordinate project implementation activities in participating countries including preparation of draft ToRs for subcontracts and technical experts/consultants, support organization of workshops/meetings including participation in all important project workshops, making presentation on project progress and preparation of quarterly and annual progress reports as well as procurement of equipment.
- Support the M&E of the project through reviewing and finalization of evaluation reports

DURATION:

24 working months over a period of five years including several months for the field visit to participating countries. The number and duration of missions will be determined in the course of the project in accordance with the work plan.

QUALIFICATIONS OF THE CONSULTANT

Advanced Degree in engineering, chemistry or environmental sciences. Excellence communication and writing skills. Experience with management and coordination of international cooperation projects. Knowledge of the Stockholm Convention on POPs and experience of working on POPs related projects in SADC sub-region.

Annex C: Letters of Commitment from participating countries



Ministry of Tourism, Environment and Culture
Department of Environment
P.O. Box 10993
Maseru 100
Lesotho

Tel: +266 22 311767

Fax: +266 22 311139

MTEC/NES/CONV/12

7th November 2010

Maryam Niamir-Fuller
GEF Executive Coordinator and Director
Division of Global Environment Facility (GEF) Coordination UNEP
PO Box 30552 Nairobi, Kenya

Dear Madam

**Subject: Letter of Commitment to co-finance the UNEP/UNIDO regional project
“Capacity Strengthening and Technical Assistance for the Implementation of
National Implementation Plans (NIPs) for the Stockholm Convention on POPs in
Least Developed Countries (LDCs)” in Africa**

In my capacity as GEF Operational Focal Point for Lesotho, I confirm that the above project proposal (a) is in accordance with the government's national priorities and the commitments made by Lesotho, under the relevant global environmental conventions and (b) has been discussed with relevant stakeholders, including the global environmental convention focal points, in accordance with GEF's policy on public involvement.

Accordingly, in order to implement the above mentioned project in the framework of the Stockholm Convention on POPs, the Ministry of Tourism, Environment & Culture together with other national Ministries and partners to the project commit to contribute a total of US\$ 100,000 in cash and US\$ 250,000 in-kind as counterpart funding during the five year project implementation period. The funds will be allocated according to the project activities in Lesotho for the project document.

Yours faithfully,

SM. Damane

Director – Department of Environment
GEF Operational Focal Point (GEF- OFP)



REPÚBLICA DE MOÇAMBIQUE

MINISTÉRIO PARA A COORDENAÇÃO DA ACÇÃO AMBIENTAL
DIRECÇÃO DE COOPERAÇÃO

12/03/2010

:

To:

Maryam Niamir-Fuller

GEF Executive Coordinator and Director

Division of Global Environment Facility (GEF) Coordination UNEP

PO Box 30552 Nairobi, Kenya

Tel: (254 20) 762-4166, Fax: (254 20) 762-4041

E-mail: Jan.Betlem@UNEP.org; m.eisa@unido.org;

Subject: Letter of Commitment to co-finance the UNEP/UNIDO regional project
"Capacity Strengthening and Technical Assistance for the Implementation of National
Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed
Countries (LDCs)" in Africa

In my capacity as GEF Operational Focal Point for Mozambique, I confirm that the
above project proposal (a) is in accordance with the government's national priorities and
the commitments made by Mozambique under the relevant global environmental
conventions and (b) has been discussed with relevant stakeholders, including the global
environmental convention focal points, in accordance with GEF's policy on public
involvement.

Accordingly, in order to implement the above mentioned project in the framework of the
Stockholm Convention on POPs, the Ministry of Environment together with other
national Ministries and partners to the project commit to contribute a total of US\$
100,000 in cash and US\$ 250,000 in-kind as counterpart funding during the five year
project implementation period. The funds will be allocated according to the project
activities in Mozambique for the project document.





SWAZILAND ENVIRONMENT AUTHORITY

Top Floor
Plot 335 of Farm 2 (Opposite PrintPak Square)
Hhohho
Sheffield Road, Industrial Site
Mbabane

P.O. Box 2602
Mbabane, Swaziland
Tel: 404 6960 Fax: 404 1719
Email: <sea@realnet.co.sz>
<Seabiodiv@realnet.co.sz>

16 December 2010

To: **Maryam Niamir-Fuller**
GEF Executive Coordinator and Director
Division of Global Environment Facility (GEF) Coordination UNEP
PO Box 30552 Nairobi, Kenya
Tel: (254 20) 762-4166, Fax: (254 20) 762-4041
E-mail: Jan.Betlem@UNEP.org

Subject: Commitment Letter for the sub-regional projects concerning the programme: "Capacity Strengthening and Technical Assistance for the Implementation of National Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed Countries (LDCs)"

In my capacity as GEF Operational Focal Point for the Kingdom of Swaziland, I confirm that proposals related to the above mentioned programme to be implemented by UNIDO and UNEP, include activities which (a) are in accordance with the government's national priorities and the commitments made by the Kingdom of Swaziland under the relevant global environmental conventions and (b) has been discussed with relevant stakeholders, including the global environmental convention focal points, in accordance with GEF's policy on public involvement as part on the Project Preparation process (the development of the projects was supported by GEF through a PPG). The project proposals are in line with the by GEF already approved Programme Framework Document with the above mentioned title.

Accordingly, in order to implement the above mentioned projects in the framework of the Stockholm Convention on POPs, the Swaziland Environment Authority (SEA) together with other relevant National Ministries and partners to the project, commit to contribute a total of US \$ 100,000 in cash (or equivalent in national currency) and US \$ 50, 000.00 in-kind as counterpart funding during the five year project implementation period.

I understand that the total GEF financing being requested for this project is not exceeding the amounts as mentioned in the GEF approved Programme Framework Document (PFD) and that an Agency fee (10%) to UNEP/UNIDO for project cycle management services associated with this project will be applicable.

GEF resources under GEF 4 for the POPs Focal Area are not subject to the GEF Resource Allocation Framework.

GEF Operational Focal Point Commitment Letter Template for Regional/Joint-country Projects: Capacity Strengthening and Technical Assistance for the Implementation of National Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed Countries (LDCs) and Small Island Development States (SIDSs) in Africa

THE UNITED REPUBLIC OF TANZANIA

Telegrams: "MAKAMU"
Telephone: 213983/2118416
Fax: 2113856/2125297



VICE-PRESIDENT'S OFFICE
P. O. BOX 5380
DAR ES SALAAM
TANZANIA
20th May 2010

In reply please quote Ref: BD. 78/280/01/

To: **Maryam Niamir-Fuller**
GEF Executive Coordinator and Director
Division of Global Environment Facility (GEF) Coordination UNEP
PO Box 30552 Nairobi, Kenya
Tel: (254 20) 762-4166, Fax: (254 20) 762-4041
E-mail: Jan.Betlem@UNEP.org; m.eisa@unido.org;

**Subject: Letter of Commitment to co-finance the UNEP/UNIDO regional project
"Capacity Strengthening and Technical Assistance for the Implementation of National
Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed
Countries (LDCs)" in Africa**

In my capacity as GEF Operational Focal Point for the United Republic of Tanzania, I confirm that the above project proposal (a) is in accordance with the government's national priorities and the commitments made by the United Republic of Tanzania, under the relevant global environmental conventions and (b) has been discussed with relevant stakeholders, including the global environmental convention focal points, in accordance with GEF's policy on public involvement.

Accordingly, in order to implement the above mentioned project in the framework of the Stockholm Convention on POPs, the Vice President's Office, Division of Environment together with other national Ministries and partners to the project commit to contribute a total of US\$ 100,000 in cash and US\$ 250,000 in-kind as counterpart funding during the five year project implementation period. The funds will be allocated according to the project activities in the United Republic of Tanzania for the project document.

Sincerely,

A handwritten signature in blue ink, appearing to read "Eric Mugurusi".

Mr. Eric Mugurusi
GEF Focal Point

UNITED NATIONS ENVIRONMENT PROGRAMME
PROJECT DOCUMENT

SECTION 1: PROJECT IDENTIFICATION

- 1.1 Project title:** Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the SADC Sub region
- 1.2 Project number:** GFL/2328 –
PMS: GF/
- 1.3 Project type:** FSP
- 1.4 Sub-programme title:** SP 1
- 1.5 UNEP priority:** Hazardous Substances
- 1.6 Geographical scope:** Angola, Lesotho, Swaziland, Tanzania, Mozambique
- 1.7 Mode of execution:** External (WWF)
- 1.8 Project executing organization:** WWF
- 1.9 Duration of project:** 60 months
Commencing: 01/01/2011
Completion: 31/12/2015

Cost of Project	US\$	%
Cost to the GEF Trust Fund	1,500,000	100
Co-financing		
Cash		
African Union Commission ACP-MEAs	18,333	0.95
WWF	12,500	0.65
National co-finance	At least: 250,000	13
<i>Sub-total</i>	280,833	
In-kind		
UNEP Regional Office for Africa	300,000	15.63
SAICM Secretariat	666,667	34.74
Stockholm Secretariat	166,667	8.68
UNEP Chemicals	254,350	13.25
National co-finance	At least: 250,000	13
<i>Sub-total</i>	1,637,684	
Total	1,918,517	99.9

1.10 Project Summary

The least developed countries (LDCs) in the Southern African Development Community (SADC) sub region (Angola, Tanzania, Lesotho, Swaziland and Mozambique) are among the poorest in the world. Poverty levels in the sub region range from 43% of the population living on less than USD1 per day in Lesotho, to 88% in Tanzania (African Development Bank, 2010).

Clear links have been established between poverty and increased risks of exposure to hazardous chemicals and waste, as it is predominantly the poor who routinely face unacceptably high risks because of their occupation, living situation and lack of knowledge about the detrimental impacts of exposure to these chemicals and wastes. Low income neighbourhoods are often located around industrial areas and waste dumps; this makes the poor the first to suffer from accidents or the adverse environmental impacts of factories' operations (or environmental 'externalities') (UNEP, 2010). Despite the direct relationship between the sound management of chemicals and the protection of human health and the environment, and the prevention of poverty, these links are often overlooked in development planning and prioritizing.

Despite completing their National Implementation Plans (NIPs), Swaziland and LDCs in the SADC sub region lack the financial capacity to match the GEF potential funds and the administrative capacity to design activities and attract co-finance to sustain their global role in the elimination and reduction of POPs. Therefore a regional programmatic approach is needed to maintain the momentum of the national coordination mechanism built during and by the NIP development process, to support a collective action, build national capacity, and enhance mainstreaming of chemicals issues into the work of national governments.

Based on extensive regional and sub regional consultations and review of countries NIPs, UNEP and UNIDO have identified six areas in which LDCs in SADC require assistance. These are: legislative and regulatory reform; enforcement and administrative capacity; information exchange and dissemination; identification of contaminated land; reduction of exposure to POPs and uPOPs emitting sources at workplace and open waste burning; and introduction of BAT/BEP in industrial production processes. UNEP and UNIDO have developed an Africa-wide programme that will address these areas of concern. The programme: "Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs)" will be implemented on a sub regional basis with projects developed for the COMESA, SADC and ECOWAS sub regions respectively. In each sub region UNEP and UNIDO will have separate but complimentary projects based on thematic areas of comparative advantage. UNEP is proposing to implement the components on legislative and regulatory reform, enforcement and administrative capacity, and information exchange and dissemination. UNEP is the lead agency and will also implement the monitoring and evaluation plan. UNIDO will implement the: identification of contaminated land; reduction of exposure to POPs and uPOPs emitting sources at workplace and open waste burning; and introduction of BAT/BEP in industrial production processes components.

In close cooperation with UNIDO, UNEP will implement the programme activities from 2010 to 2015. The activities are designed to increase the capacity of key government agencies, provincial level government staff, agricultural workers, academia, research institutes, the private sector, as well as participating stakeholders in civil society, and specifically at the community level. Furthermore activities will also be undertaken to raise awareness of the judiciaries in order to increase understanding of the importance of environmental law and the chemicals and wastes conventions.

This project proposal covers the proposed UNEP activities for the SADC sub region under the broad programme themes of legislative and regulatory reform, enforcement and administrative capacity, and information exchange and dissemination. All the project activities were identified through extensive consultation with countries from the sub region, the SADC secretariat, regional bodies, civil society organisations and the private sector. All lessons and resources developed as part of the project will be shared and made available on a web-based knowledge management platform. Such a platform will provide the opportunity for increased south-south cooperation.

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ACRONYMS AND ABBREVIATIONS

ANCAP	African Network for the Chemical Analysis of Pesticides
ACP	Africa Caribbean and Pacific
ASP	Africa Stockpiles Programme
AUC	Africa Union Commission
BAT/BEP	Best Available Techniques/Best Environmental Practices
BCRCC	Basel Convention Regional Coordinating Centre
CIEN	Chemical Information Exchange Network
CLI	CropLife International
COMESA	Common Market for East and Southern Africa
ECOWAS	Economic Community of West African States
GEF	Global Environment Facility
LDCs	Least Developed Countries
NCC	National Coordinating Committee
NGO	Non-Governmental Organization
NFP	National Focal Point
NIP	National Implementation Plan
OECD	Organization for Economic Cooperation and Development
PCB	Programme Coordination Body
POPs	Persistent Organic Pollutants
QSP	Quick Start Programme
SADC	Southern African Development Community
SAICM	Strategic Approach to International Chemicals Management
SETAC	Society of Environmental Toxicology and Chemistry
SIDS	Small Island Developing States
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organisation
WHO	World Health Organization

SECTION 2: BACKGROUND AND SITUATION ANALYSIS (BASELINE COURSE OF ACTION)

2.1. Background and Context

1. The least developed countries (LDCs) in the Southern African Development Community sub region (Angola, Tanzania, Lesotho, Swaziland and Mozambique) are among the poorest in the world. Poverty levels in the sub region range from 43% of the population living on less than USD1 per day in Lesotho, to 88% in Tanzania (African Development Bank, 2010).
2. While LDC governments in the SADC sub region attach importance to protecting the environment while promoting economic growth and development, there are competing priorities for scarce national budgets. Slow economic development, combined with continuing and in some cases worsening poverty in the entire sub region, continue to exacerbate serious environmental problems and drive a cycle of poverty. Resource shortages, fragile ecological environments and insufficient environmental carrying capacity are critical problems conflicting with, and hindering sustainable development.
3. Clear links have been established between poverty and increased risks of exposure to hazardous chemicals and waste, as it is predominantly the poor who routinely face unacceptably high risks because of their occupation, living situation and lack of knowledge about the detrimental impacts of exposure to these chemicals and wastes. Low income neighbourhoods are often located around industrial areas and waste dumps; this makes the poor (and in many circumstances women and children) the first to suffer from accidents or the adverse environmental impacts of factories' operations (or environmental 'externalities') (UNEP, 2010). Despite the direct relationship between the sound management of chemicals and the protection of human health and the environment, and the prevention of poverty, these links are often overlooked in development planning and prioritizing.
4. LDCs in this sub region have ratified and are parties to the Stockholm Convention on Persistent Organic Pollutants. They have requested assistance in the implementation of the Stockholm Convention and their national NIPs. With the exception of Angola and Swaziland, all countries have completed and submitted their NIPs. Swaziland is in the final stages of completing its NIP, and anticipates it will be submitted in late 2010. The NIPs established preliminary inventories of POPs chemicals, prioritized activities to implement the provisions of the Stockholm Convention, and identified technical, regulatory and institutional barriers to implementation.
5. In their NIPs SADC LDCs prioritized the need for improved legislative and regulatory frameworks, as well as increased administrative, institutional and enforcement capacity, as an essential basis from which to manage POPs. All countries of this sub region have stressed the need for international technical assistance and cooperation to protect the environment, and to discharge the obligations stipulated in the Stockholm Convention.
6. In order to accurately reflect current needs of LDCs from the SADC region a consultative workshop was convened from 22-25 March 2010 in Pretoria, South Africa. During this workshop participating countries (Lesotho, Swaziland and Tanzania) made presentations outlining NIP priorities, status of implementation of NIPs, and bottle-necks to implementation. Mozambique attended an earlier consultation. As a result of the consultation workshop a needs assessment was compiled. The summary report of this needs assessment workshop is attached as Appendix 11. of this document.
7. This project proposes to work on the sub regional, national, provincial and local levels to increase capacity for POPs management including legislation, enforcement and information sharing and dissemination.

2.2. Global Significance

8. In 2007, the global chemical industry realized an estimated turnover value of about €2,320 billion (US\$ 3,180) (UNEP, 2010). More than 20 million people worldwide are employed directly or indirectly by the chemical industry, with millions of chemicals on the market and new ones being produced each year. The increasingly widespread presence and use of chemicals worldwide generates an enormous burden for monitoring authorities to assess the effects of each new chemical, let alone their cumulative effects on human beings and on the environment.
9. Recently, the chemicals industry has begun moving operations into the developing countries that are less prepared to manage chemicals and wastes in a safe and sustainable manner. While 80% of the world's total output of chemicals came from 16 OECD countries in 2001, it is projected that by 2020 developing countries will lead the world in growth rates for high volume industrial chemicals production (i.e. those produced at more than 1000 tonnes per year) increasing their share of the world's chemical production to 31% (UNEP, 2010).
10. Likewise, chemical consumption in developing countries is growing much faster than in developed countries and could account for a third of global consumption by 2020. While the use of chemicals is essential and waste generation inherent to modern economies, the unsound management of both chemicals and wastes can have significant negative impacts on the environment and public health. The poor (and specifically the women and children) are often those most affected by these adverse impacts. Addressing the environmental and health hazards associated with chemicals and wastes is therefore becoming increasingly crucial to ensure hard won development gains are not undone.
11. As of 2002, unsafe waste disposal practices that cause irreversible environmental and health concerns, such as open dumping, ocean dumping or on-site burning were still practiced in at least 175 countries, the transboundary movement of wastes from countries with more stringent standards to those with less stringent or poorly enforced standards continues to be of great concern.
12. In addition, unsafe chemical practices have significant impact on human health. Over 25 per cent of the global burden of disease is linked to environmental factors, including exposure to chemicals. Unintentional poisonings kill an estimated 355,000 people each year. In developing countries, such poisonings are associated strongly with excessive exposure to and inappropriate use of toxic chemicals, including pesticides (WHO, 2006).
13. Sound management of chemicals requires capable and active country governments and personnel. Building the capacity of LDC governments, at all levels, as this project proposes to do, is therefore critical to improving chemicals management.
14. Increased capacity of government personnel will lead to significant impacts related to improved chemicals management, subsequent reduction of stockpiled chemicals, and of emissions. Improved regulatory frameworks and enforcement practices further reduce the risk of chemical emissions to environmental media, as well as risks to human health, through reducing unregulated chemical use. Through education of vulnerable communities, exposure risks will be further reduced.

2.3. Threats, Root Causes and Barrier Analysis

15. A thorough barrier analysis is required if the project is to be successful. The barrier analysis for this project was carried out during project preparation through intensive consultation with representatives from participating countries, Basel Convention Regional Coordinating Centres, interested academics, and nongovernmental organizations. During the consultation, participating country representatives presented their progress in implementing the Stockholm Convention, and specifically the priorities of their NIPs, and the bottlenecks, and challenges to their implementation. Representatives also outlined priority activities requiring assistance under the general themes of legislation and regulatory frameworks, administration and enforcement capacity and information sharing and dissemination.
16. As a result of the aforementioned consultation, a needs assessment was completed. The assessment covers the requirements and priority areas of intervention for participating countries, based on the input and feedback from representatives of participating countries during the consultation workshop as well as from NIPs and national progress reports on their implementation.
17. A key root cause to lack of progress on Stockholm Convention implementation was identified to be due to the fact that some LDCs in the SADC sub region treated the NIP development process as a discrete project, as opposed to an activity to lead to mainstreaming work on implementing the Convention, into the work of the national government. As a result, once the NIP was completed the project was finished and focused work on POPs was essentially discontinued. While the Stockholm Convention Conference of the Parties and the Global Environment Facility viewed NIP development as an "enabling" activity, the evidence presented at the consultation indicated that enabling was largely limited to the development of an NIP, and did not always translate to implementation of the plan articulated in the NIP.
18. The consultation indicated that few of the participating countries had managed to move from implementation planning, to implementation of the Stockholm Convention, through the implementation of the activities defined in their NIPs. Common barriers cited included lack of money to fund activities, technical and human capacity, as well the issue of chemicals management not being a national development priority. Specific barriers related to the development of adequate legislative and regulatory frameworks, enforcement and administrative capacity, and information sharing and dissemination, are discussed in the following paragraphs. Country specific situations are outlined in Section 2.4.
19. Country representatives explained the lack of adequate legislative and regulatory frameworks in the sub region was due to: weak institutional capacity for planning, guiding and enforcement for the Convention compliance through national policy; lack of knowledge of decision makers on POPs, relegating POPs to a low priority; lack of financing; and insufficient human resources and expertise.
20. Country representatives outlined the following reasons for the apparent inadequate enforcement and administrative capacity: deficiency of expertise in the monitoring of POPs and in sampling techniques; lack of inter-ministerial coordination; insufficient local management experience for obsolete pesticide, chemical wastes, dioxins and furans and contaminated sites; lack of laboratory equipment and associated analytical capacity to analyze for POPs; and lack of understanding in the judiciary system and other law enforcement agencies on POPs.
21. Country representatives outlined the following reasons for the current lack of adequate dissemination and sharing of experiences on POPs: the lack of an interactive and structured database on POPs; poor collaboration among stakeholders with regard to chemicals

management issues. The lack of resources to train teachers, school students and NGO representatives on the dangers of POPs.

22. Review of the NIPs, the consultation process, and the needs assessment indicate that LDCs in the SADC sub region have been generally unable to move from NIP development to NIP implementation. This situation is evidenced by the lack of project proposals received by GEF, from most of these countries, to address POPs. This project is therefore proposed to build capacity in the development of legislative and regulatory frameworks, and to enhance enforcement and administrative capacity. The project will also develop a platform for sub regional information sharing to ensure the adequate dissemination of information on POPs, their management and best practice in the chemicals arena.

2.4. Institutional, Sectoral and Policy Context

23. LDCs in the SADC sub region assessed the adequacy of their respective policy environments during the development of their NIPs. Countries are at various stages of policy development, but are all facing constraints and requesting assistance.
24. The National Profile for Angola mentions as areas of requiring attention capacity building with regards to management of chemicals as well as to information exchange and awareness raising concerning hazards of chemicals. Support to scientific centers (for analytical purposes, etc.) is required. The internal administration and statistics of chemicals import, use, etc. of the country needs urgent attention. The NIP for Angola is in development.
25. POPs policy in Tanzania is evolving. The Tanzanian Government has put in place a policy and regulatory regime for POPs management, and is currently developing regulations on POPs, and guidelines on contaminated sites. A comprehensive chemicals regulatory framework is required to bring these efforts together and was the key priority listed in Tanzania's NIP.
26. Lesotho completed its NIP in 2005. According to the NIP there is no regulatory framework addressing POPs or other chemicals. Priorities in the NIP included the development of a framework and legal instruments for effective management of POPs and persistent toxic substances and to amend the Environment Act to include POPs.
27. The legislative and regulatory framework of Swaziland is piecemeal. Swaziland proposed the following activities for the management of POPs in their NIP: promulgating a chemicals management bill that will cover all POPs issues; and incorporating POPs issues into relevant existing regulations.
28. The NIP development in Mozambique was completed in 2008. There are two main priorities identified in NIP regarding legislative and regulatory frameworks: strengthened POPs coordination on management of POPs and other chemical pollutants by 2009; and adequate policies, legislation and institutional capacity for effective NIP implementation developed on POPs management by 2012.
29. As indicated above, LDCs in the SADC region are at various stages in the development of effective legal frameworks and enforcement mechanisms for POPs. All require assistance in the development of new regulations, or the revision of existing instruments. In addition, those countries with some form of regulatory framework are requesting assistance with increasing enforcement capacity. Those countries without existing regulation require assistance with sensitization to the issue of POPs. Countries also acknowledge the important role of provincial

level governments in managing POPs and therefore the need to increase the capacity of these personnel through training.

2.5. Stakeholder Mapping and Analysis

30. WWF has developed a training program on the development of pesticide and obsolete pesticide management communication strategies and it is planned that this will be extended to all POPs. WWF have undertaken this training program as part of its activities in the Africa Stockpiles Programme (ASP). The communications toolkit developed by WWF has been used to support countries participating in the ASP – Ethiopia, Mali, Morocco, Nigeria, South Africa, Tanzania and Tunisia in developing and implementing national communications programmes as an integral part of the country projects. WWF has conducted numerous training workshops for journalists, civil society, professional organizations and farmer associations in the region. WWF has also developed informational products on proper pesticide handling and management including booklets and short videos. These will be made available to the project.
31. The Africa Institute is a Basel Convention Regional Centre (BCRC) for English speaking African Countries based in Pretoria, South Africa. It is housed within the Department of Environmental Affairs of the Government of South Africa. The Institute began operating in October 2009 following the closure of its predecessor, the Interim BCRC in 2007. The strategic goals of the Institute are: to develop the capacity of the members to manage hazardous waste and other wastes; to develop capacity of members to participate and influence international negotiations related to hazardous waste and chemicals; to enhance implementation of the hazardous waste and chemicals conventions; to enhance regional research and monitoring of chemicals and hazardous waste; to facilitate access to and transfer of technologies for sound management of hazardous waste; and to disseminate information on environmentally sound management of hazardous waste and chemicals. The Institute is staffed by an Executive Director and two part-time staff. As the institute is in its infancy, the project will aim to involve the Institute in specific project activities, including supporting the BCRCC Nigeria in monitoring and evaluating project activities.
32. Several professional and other organizations operate in the SADC sub region. These include the Society of Environmental Toxicology and Chemistry (SETAC) a not-for-profit, global professional organization providing a forum for individuals and institutions engaged in education, research and development, ecological risk assessment and life cycle assessment, chemical manufacture and distribution, management and regulation of natural resources, and the study, analysis and solution of environmental problems. Membership in Africa is rapidly growing and SETAC serves to connect these scientists from all over Africa, with the rest of the world. The African Network for the Chemical Analysis of Pesticides (ANCAP) is devoted to the study, promotion and development of the science of all aspects of chemical analysis of pesticides. CropLife Africa Middle East is a regional federation representing the plant science industry and a network of national associations in 30 countries in Africa and the Middle East. ICIPE is an organization engaged in 'tropical insect science for development'. ICIPE aims to help ensure food security and better health for humankind and livestock, protect the environment, and to make better use of natural resources. The Pan Africa Chemistry Network (PACN) is in the early stages of development, and aims to help African countries to integrate into regional, national and international scientific networks. The Tropical Pesticide Research Institute is a Tanzanian Government funded research agency based in Arusha, Tanzania. The institute handles regulation of imports of pesticide into the country. Links will be made with relevant activities being undertaken by these organizations, and partnerships sought in the execution of various activities.

2.6. Baseline Analysis and Gaps

33. Legislation and regulatory framework baseline: While several of the SADC sub region have sectoral regulations and general Environment Acts, none has a comprehensive regulatory in place to address chemicals, including POPs.
34. Enforcement and administrative capacity baseline: While there is increasing recognition by LDCs in the SADC sub region that effective management of POPs and chemicals requires all levels of government, there has been almost no training of provincial level environment staff on POPs management, and inspection and monitoring. In addition countries have reported a very low level of knowledge of the judiciary on POPs and the provisions of the Stockholm Convention. Countries also expressed concern that enforcement is near impossible without the laboratory analytical capability to analyze samples collected from potentially contaminated sites. In addition, no database of sub regional laboratories and associated capabilities exists.
35. Information sharing and dissemination baseline: LDCs in the SADC sub region expressed the desire to share and access information with and from each other over an internet based knowledge management system. The Chemical Exchange Information Network was launched as a UNEP partnership in 2002. It was intended to be a mechanism that helps networking and collaboration among various stakeholders responsible for the environmentally sound management of chemicals. However it is not currently updated. Countries expressed desire for this to be revitalized and updated in order to be a useful resource. SADC LDCs also expressed the need for POPs education materials as well as assistance in undertaking sensitization with POPs-vulnerable communities. Country representatives also highlighted the need for high level government support for POPs management. They noted that currently it is difficult to attract funds from the national budget for POPs related activities, as the issue does not have the political prominence of issues such as climate change and biodiversity.
36. Ongoing activities to implement the Stockholm Convention: The consultations undertaken indicated that LDCs in the SADC sub region treated the Stockholm Convention NIP development enabling activities, as a discrete project. As such activities to implement the provisions of the Stockholm Convention were not mainstreamed into Ministry of Environment, Agriculture, or Health activities. As a result, once the NIP was completed, further work was not undertaken on the executing the prioritized activities which were elaborated in NIPs. POPs offices were closed. National consultants were often tasked with the responsibility of developing and drafting NIPs. Once the NIP was complete, the contracts of these personnel were also finished.

2.7. Linkages With Other GEF and Non-GEF Interventions

37. During the project design phase, UNEP explored existing projects (GEF and non GEF interventions) in participating LDCs in the SADC sub region in order to learn from their experiences and not duplicate efforts. During the project design phase, key actors were consulted including POPs Focal Points, the SADC Secretariat, UNEP staff implementing related projects, the Africa Institute, and NGOs. The following paragraphs describe linkages with relevant regional, sub regional and national activities.
38. The Africa Stockpiles Programme (ASP) is addressing the issue of disposal of obsolete stockpiles in African countries. The present project activities dealing with stocks will be fully coordinated with the work of the ASP, which is implemented by the World Bank, FAO, CLI, PAN and WWF. The ASP aims to: clean up obsolete pesticides; prevent pesticide

accumulation; and build capacity for pesticide management. Of the countries included in the UNEP –UNIDO POPs project, only Tanzania has participated in the ASP. According to the ASP progress on the ground includes the development of an inventory which revealed 650 tons of obsolete pesticides and 600 tons of left-over sulfur, which the Tanzania Government wishes to dispose of.

39. UNEP Chemicals Branch has been working on guidance on legal and institutional infrastructure for sound management of chemicals, and on economic instruments for financing sound management of chemicals since March 2009. The UNEP-KemI Project on “Development of Legal and Institutional Infrastructures for the Sound Management of Chemicals in Developing Countries and Countries with Economy in Transition” introduced the main elements to be considered for developing comprehensive and efficient legal frameworks for managing the introduction of chemicals into the market for use, along with possible institutional arrangements for effective implementation and enforcement. With the support of the Norwegian Government, UNEP has also generated a draft guidance document for policymakers on the use of these economic policy measures for achieving Sound Management of Chemicals (SMC), with a focus on cost recovery options for financing legal and institutional infrastructure for SMC. UNEP Chemicals is in the process of merging these two projects into an integrated guidance document that will comprise of three sections: managing the introduction of chemicals into the market for use; managing chemicals at other steps of their life-cycle; and innovative approaches to chemicals management. It is envisaged that the integrated guidance produced by UNEP Chemicals will form a significant component of the comprehensive legislative framework model requested by SADC countries. Similarly, the work completed by UNEP Chemicals on economic instruments will be used to support the training on economic instruments in Component 2. With the support of UNEP Chemicals Component 2 may also field test the economic instrument guidance.
40. SAICM Information Clearinghouse: In accordance with Paragraph 28 of the SAICM Overarching Policy Strategy which mandates the provision of “information clearing-house services such as the provision of advice to countries on implementation of the Strategic Approach, referral of requests for information and expertise in support of specific national actions” and, supported by the Government of Germany, the SAICM Information Clearinghouse was launched in May 2010. The SAICM clearinghouse website has incorporated the data archive and much of the functionality of the Information Exchange Network on Capacity-building for the Sound Management of Chemicals (INFOCAP). Under this project the SAICM Information Clearinghouse will provide links to the CIEN. Also, if the CIEN cannot be revitalized it is possible the Information Clearinghouse could house, or link to the knowledge management component of this project, and associated programme.
41. The UNDP-UNEP Partnership Initiative for the Integration of Sound Management of Chemicals into Development Planning Processes, builds on previous mainstreaming experience to establish the links between the sound management of chemicals and development priorities of the country. The process is characterized by a multi-stakeholder dialogue – particularly appropriate for chemicals management given its cross-sectoral dimensions – the need to reduce the fragmentation of information, to develop integrated solutions, and to improve implementation of chemicals management policies. While there is no duplication between countries involved in the UNDP-UNEP Partnership and this project, efforts will be made to utilize resources developed by the UNDP-UNEP Partnership.
42. The Africa Caribbean Pacific - Multilateral Environment Agreements (ACP-MEAs) Programme is being implemented by UNEP in cooperation with the European Commission

(EC) and several other partners to enhance the capacity of African, Caribbean, and Pacific (ACP) countries to implement MEAs. The African Hub is hosted by the African Union Commission (AUC) in Addis Ababa, Ethiopia, and provides technical assistance, training and policy and advisory support services. The comprehensive four-year project has a total budget of 21 million Euros. Due to the potential duplication of efforts of the two programmes, consultations were undertaken with the AUC on the ACP-MEAs planned activities. It is understood that AUC plans to undertake training of the judiciary in Anglophone and Francophone countries, as well as training of MEA focal points on effective dissemination of information on MEAs and MEA implementation strategies. Both activities fit with the planned activities of this project and therefore activities under the ACP-MEAs activities and this project will be harmonized to avoid duplication and to make the most of limited available funds. As such activities will be undertaken in a coordinated manner and will be executed by the ACP-MEAs programme.

43. A concept for a regional Pesticide Lifecycle Development in Africa project is currently being developed by FAO, UNEP and WHO. The project may project include activities on pesticide legislation, regulation and registration. This project is likely to include some of the SADC LDCs, as well as non-LDCs from SADC and other regions. The FAO, UNEP and WHO project may provide the opportunity to share lessons learned from this project and to scale up and replicate outcomes. In addition proponents are considering activities related to laboratory capacity. As such the FAO, UNEP and WHO activity is likely to make use of the laboratory network and equipment database produced under this activity.
44. The e-waste Africa project, is being implemented in the framework the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal, and is a comprehensive programme of activities aiming at enhancing environmental governance of e-wastes and at creating favorable social and economic conditions for partnerships and small businesses in the recycling sector in Africa. The primary objective of the project is to build local capacity to address the flow of e-wastes and electrical and electronic products destined for reuse in selected African countries; and augment the sustainable management of resources through the recovery of materials in e-wastes. While there is no direct relationship between the e-waste activity and the activities planned under this project, they are complimentary in that both build much needed capacity in areas of hazardous materials.
45. WWF has developed a training program on the development of pesticide and obsolete pesticide management communication strategies and it is planned that this will be extended to all POPs. WWF has also developed informational products on proper pesticide handling and management including booklets and short videos. These will be redeveloped and made available to the project. WWF has been working with private sector, agricultural produce associations and academia on pesticide management issues. Synergies will be made with these ongoing initiatives. In addition WWF is planning work with regional economic commissions in Africa including SADC on environmental policy. There are potential duplications with this work and as such WWF has agreed to work together with this project to execute activities in the SADC region.
46. In a relevant national level activity, Lesotho and Swaziland received SAICM funds for updating their national chemical profile and developing an integrated programme for the sound management of chemicals respectively. Efforts will be made to avoid duplication of activities undertaken under these national initiatives, and to share any relevant lessons learned from these activities with other participating countries.

SECTION 3: INTERVENTION STRATEGY (ALTERNATIVE)

3.1. Project Rationale, Policy Conformity and Expected Global Environmental Benefits

47. The project will strengthen and build the capacity required in participating countries to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals. The proposed project will be implemented in a complimentary manner, enhancing current and planned activities as indicated in Section 2.7.
48. The project will execute activities to build capacity in the development of legislative and regulatory frameworks, improving enforcement and administrative capacity, and enhancing information exchange and dissemination in the sub region. Through these activities the project will: develop work plans for comprehensive regulatory frameworks; assist in the drafting of chemicals regulation; develop guidelines for the institution of sectoral regulations; provide training to provincial level environment staff, the private sector and stakeholders on the provisions of the Stockholm Convention; provide training for environment and legal drafting staff in the use of economic instruments; develop a network of sub regional laboratories; and provide training to the judiciary on the Stockholm and related chemical conventions. The information sharing and dissemination component will include; the development and disseminate community education and training materials on POPs; and training in the development of POPs communication strategies. It will result in coordinated dissemination and awareness raising system on a national and regional level that is linked to global scale lessons learned dissemination channels. It will also develop and pilot a POPs-focused environmental education and teacher training activity. This component also covers a number of cross-cutting programme activities designed to capitalize on knowledge gained and lessons learned during programme implementation, and provide a knowledge management platform for the sharing and dissemination of information on POPs in the sub region, between sub regions and internationally.
49. The evidence from on-going dialogue with countries in the region is that countries are facing difficulties and barriers in shifting from NIP development to preparing and financing projects and programs in support Stockholm Convention implementation. This post-NIP program is a GEF/UNIDO/UNEP initiative that aims to enhance and sustain the implementation of the Stockholm Convention in the SADC LDCs. The sub regional consultations undertaken during the project design process pointed to the need for a concerted effort to increase capacity to manage POPs and chemicals soundly at all levels of government - national and provincial, and in the wider community. Country representatives also highlighted their wish to work together on a sub regional basis in order to learn from each other, work together and share experiences. As such project activities have been designed to encompass the sub regional political sphere, national government, provincial government and community levels. This approach is outlined in Table 1 below:

Table 1: Project activity levels

Activity Level	Details	Activity
Political level	(Environment Ministers)	Outcome 3.1 - CIEN platform revitalized and utilized as a knowledge Outcome 3.4 - Political declaration committing support to the Convention
National Government	(Environment, Customs, Agricultural, Quarantine, Finance and Judiciary staff)	Outcome 1.1 – Development of work plans for comprehensive chemicals regulatory framework. Outcome 1.2 – Development of model sector-specific regulations for incinerator operation, contaminated sites, and biopesticides. Outcome 2.1 – National staff certified as Stockholm Convention “trainers”. Outcome 2.2 – Training for environment and legal drafting staff in the use of economic instruments on chemicals and wastes. Outcome 2.3 – Judges and Finance staff trained on the Stockholm and other chemicals conventions. Outcome 2.4 – Development of a network of laboratories and analytical capabilities. Outcome 3.1 - CIEN platform revitalized and utilized as a knowledge Outcome 3.2 – Training in the development of communication strategies for POPs.
Provincial Government	(Provincial Environment and Agriculture staff)	Outcome 2.1 – Provincial staff trained on Stockholm and other chemicals conventions. Outcome 3.1 - CIEN platform revitalized and utilized as a knowledge
Community level	(Community groups, NGOs and small scale farmers)	Outcome 2.1 – Stakeholders and private sector representatives training on Stockholm and other chemicals conventions. Outcome 3.1 - CIEN platform revitalized and utilized as a knowledge Outcome 3.3 – Pilot communities trained on POPs risk reduction. POPs education materials available to community groups.

50. The sub regional approach to project implementation also allows GEF-4 to target its limited resources for priority issues and to realize higher visibility and greater impact by linking project interventions in a programmatic context. While some activities will be undertaken at the national and local levels, training activities will be executed at the sub regional level. From a management perspective such an approach will allow transaction costs and administrative burden to be kept to a minimum, while allowing participants to share experiences with colleagues from neighboring countries.
51. These project priorities respond directly to the common needs as expressed by countries during the consultation period. In addition, working with the SADC regional economic commission affords the project the opportunity to increase the political awareness and prominence of POPs issues in the sub region.
52. The proposed implementation approach should maximize GEF’s impacts in achieving global environmental benefits through selected investments supporting the GEF focal area for POPs. It

will contribute to improving capacity of all levels of government as well as address the needs of vulnerable communities thereby resulting in improved livelihoods.

3.2. Project Goal and Objective

53. The Goal of the project is to improve the management of chemicals in LDCs in the SADC sub region, through assistance in the development of legislative and regulatory frameworks, training in improved enforcement and administrative capacity and the provision of a platform and materials for information exchange and dissemination.
54. The objective of the project is to strengthen and build the capacity required in LDCs in the SADC sub region to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals.
55. Though ultimately this project aims to achieve improved legislative and regulatory mechanisms in participating countries, and more effective enforcement, it is in essence a capacity building project. Capacity will be forged within national governments and provincial governments as well as NGO and civil society groups that are involved in the management of chemicals, or are impacted by chemical use.

3.3. Project Components and Expected Results

56. The project has been designed to have specific, measurable, attributable, realistic and timebound outcome indicators, as set forth in Appendix 4 (Logical / Results Framework). Most of the project's indicators are expressed as, or in relation to, specific targets to be achieved by project completion, though there are also midterm targets (Appendix 5) which either indicate partial outcome accomplishment or are process indicators that verify progress towards achieving the desired outcome. The expected duration of the project is five years. The quarterly work plan for the project, as well as the key deliverables and benchmarks, are presented by component in Appendix 5 and 6. The Project will have four components.
57. The components are: Component 1, Legislative and regulatory framework development; Component 2, Sustainable enforcement and administrative capacity; Component 3, Coordinated information dissemination and awareness raising system; and Component 4, Project management. The execution of these components will be supported by UNEP Regional Office for Africa staff, WWF, local staff and external specialists, including from the Africa Institute
58. Component 1: Legislative and regulatory framework development. This component will be achieved by recruiting a legal consultant to conduct a literature review of available model legislation related to chemicals, as well as regional agreements on regulatory harmonization, to develop a model comprehensive chemicals regulatory framework for use of the three sub regions included in the programme. The legal consultant will be recruited in the first few months of the project by the programme coordination body. The following paragraphs outline the proposed outcomes and verifiable indicators for each outcome.
59. Outcome 1.1: Comprehensive chemical regulatory system available for use and adaptation to specific national requirements. The verifiable indicators include the availability of all documents making up the system and a framework document setting out the relationship between elements of the system.

60. Outcome 1.2: Model sector-specific regulations developed for incinerator operation, contaminated sites and bio-pesticides. The verifiable indicators include the availability of these regulations.
61. Component 1: Activities and outputs. Component 1 activities are geared towards the development of a comprehensive model regulatory system for POPs and the sound management of chemicals. The system will be developed as a general regulatory system that can be adapted to fit with specific national requirements. A framework document setting out elements of the regulatory system will also be developed.
62. Outcomes 1.1-1.2: Outputs and activities.
63. Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting guidance developed. Technical experts will work with individually which each of the participating countries to: review current regulatory system (as outlined in NIPs) and develop prioritized plans for comprehensive regulatory framework development; develop and draft chemicals regulation; and draft sectoral guidelines.
64. SADC countries requested the development of model regulations for sectoral issues including on incinerator operation, contaminated sites, and biopesticides. These will be developed and the introduction of these guidelines coordinated with the work of UNIDO to ensure synergies between the two sections of the project.
65. Component 2: Sustainable enforcement and administrative capacity. This component will be achieved by initiating the recruitment of suitable trainers within in the first few months of activities. Most outputs and activities in Component 2 are geared towards the development of training documents and train-the-trainer activities in order to build sustainable enforcement and administrative capacity in participating countries. While training of key staff is an important element of building capacity, the ability of national level staff to train provincial level and inter-departmental colleagues is essential to the ongoing sustainability of national capacity. The following paragraphs outline the proposed outcomes and verifiable indicators for each outcome.
66. Outcome 2.1 Skilled trainers in each participating country on the obligations of the Stockholm Convention and relationship to chemicals and wastes conventions. This outcome will be verified by the number of certified trainers and the number of provincial level environment staff, members of the private sector and stakeholders trained in each participating country.
67. Outcome 2.2 Training for national environment and legal drafting staff in the use of economic instruments for chemicals and wastes. This outcome will be verified by the training records.
68. Outcome 2.3 Toolkit developed and members of the judiciary from each country trained on the Stockholm Convention and related chemicals and waste conventions. This will be verified by the number of judiciary and Ministry of Finance staff trained in each participating country.
69. Outcome 2.4 Network and database of sub regional laboratories instituted. This will be verified by the availability on the project knowledge management system of an up to date network and sub regional database of laboratories, analytical capability and staff capability.
70. Outcomes 2.1-2.4: Outputs and activities.

71. Two Stockholm Convention trainers certified and 10 provincial level staff, port workers, and Customs staff in each country trained in the obligations of Stockholm Convention. A technical training expert will design the training programme with the support of a technical expert on the Stockholm Convention. Train the trainer will be convened at the national level and supervised training of provincial level staff in the obligations of the Stockholm Convention will then be undertaken. The training guidance will be made available on the knowledge management system.
72. A technical expert will develop a training package on the use of economic instruments. It is expected that UNEP Chemicals will provide technical support to this activity and attend the training. Countries from the SADC sub region specifically requested for support on the issue of economic instruments. The activities that will be covered under this component beyond the training on economic instruments will include support in legal drafting. This was requested by all the countries involved as some of them indicated they only have one legal drafter for ALL legislation. The support provided during this period will be long term as it will be a process to go from training, review of draft documents, development of consensus among relevant departments (and possible training of staff/representatives from other departments and ministries as the need arises to ensure that they are on board with the aims of the project), to completion of the legal process.
73. A technical expert will develop a tool kit on for training members of the judiciary and the ministries of finance, on Stockholm and related conventions. A sub regional training will then be conducted for two members of the judiciary from each participating country. The tool kit will be made available on the knowledge management system.
74. A technical expert will review and verify all existing data related to laboratory capability in the sub region. A survey and consultation with relevant staff will be undertaken to fill in data gaps. The completed database will be made available through the knowledge management system, with the aim of developing a community of practice through sub regional laboratories, and to allow national governments to quickly determine options for sample analysis.
75. Component 3: Includes a coordinated information dissemination and awareness raising system. It is intended that the platform used for this will be a revitalized version of the Chemical Exchange Information Network (CIEN). The CIEN will be transformed into a knowledge management system, for the entire programme. The CIEN will contain all project documents, training documents, and project outputs. This Component will also include community training, focused on POPs-vulnerable communities, as well as high level work at the Ministerial level, with the SADC Secretariat.
76. Outcome 3.1: Knowledge management system for sound chemicals management functioning. This will be verified by the availability and usage rates of a knowledge management system containing all project related information.
77. Outcome 3.2: Training of national environment staff in the development of communication strategies for POPs. This will be verified by the training records, and the subsequent development of POPs communication strategies.
78. Outcome 3.3: Increased knowledge of POPs in vulnerable communities. This will be verified using the training records of pilot trainings conducted with two vulnerable communities in each country.

79. Outcome 3.4: High-level sub regional support for POPs management achieved. This will be verified by the report and declaration of a meeting of high level representatives to increase awareness and commitment to the Stockholm Convention.
80. Outcome 3.1-3.3: Outputs and activities
81. The Chemical Information Exchange Network (CIEN) revitalized as a knowledge management system using the ESTIS system. ESTIS is a multi-language, Information System (IS) management tool to assist the transfer of Environmentally Sound Technologies (EST). ESTIS encompasses two integrated components providing a decentralized IT network for improved access and local control in EST related information transfer. Although the CIEN is still operational it has only a limited amount of core funding. WWF will work together with UNEP Chemicals staff on the revitalization of this platform in the SADC sub region. A sub regional train-the-trainer will be convened for nominated webmasters and national focal points. The training will be put to use in each country using the ESTIS platform to build national databases that to allow national-level information dissemination. These databases will be linked at the regional level to facilitate exchange of information between African LDCs. The revitalized CIEN will also be used to share and disseminate all project related documents and resources.
82. An experienced NGO will be contracted to develop educational materials on POPs (including the nine new POPs) and to work with local NGOs to undertake pilot community training, focused on communities vulnerable to POPs.
83. An experienced NGO will be contracted to develop a training package and deliver the package on the development of communication strategies for POPs.
84. WWF will work closely with the sub regional steering committee and SADC to agree an appropriate time on SADC calendar to focus on Ministerial support for POPs issues.
85. Component 4: Project Management. The project managers must organize the implementation, reporting and monitoring of process and conservation results in coordination with numerous stakeholders.
86. Outcome 4.1: Effective project management results in the project completed in a timely and cost effective manner. This will be verified by the project at mid-term having, at a minimum, a rating of satisfactory and at project completion, at a minimum, satisfactory.
87. Outcome 4.1: Outputs and activities
88. Project management responsibilities include the establishment of structures for supervision, coordination, and implementation. These shall provide for communication mechanisms that include a clearly established schedule of meetings. Roles and responsibilities need to be established and revisited on a regular basis in the relationship between NFPs, national and international experts recruited for the execution of specific activities, community groups, and other stakeholders. Key engagements bringing together these individuals with the WWF project officer will occur at the project inception meeting in early 2011, and again every six months for the first 18 months of the project. Organizational structure, institutional and implementation arrangements are detailed in Section 4; and reporting responsibilities are detailed in Appendix 8.

3.4. Intervention Logic and Key Assumptions

89. Under Component 1 we assume that countries have an appetite for developing a comprehensive chemicals regulatory system. This assumption is based on the consultation and priorities for assistance listed by countries.
90. Under Component 2 we assume that provincial level environment staff understand the need to be trained in issues related to the Stockholm Convention. The consultation indicated that POPs National Focal Points, their alternates and members of the NIP National Coordinating Committees (NCCs) possess good knowledge of the Convention and its requirements. However, NCC members were largely drawn from national level government staff, civil society and the private sector. Under Component 2 we also assume that suitable "trainers" will be identified in each country, to be trained during the train the trainer activity.
91. Under Component 3 we assume that the current CIEN website can be revitalized into a sustainable knowledge management system. Under this component we also assume that vulnerable communities can be identified, together with locally-based NGOs available and interested in receiving community training and teacher training on POPs, and to working with vulnerable communities. Under Component 3 we also assume that high-level representatives will possess sufficient political will to come together to a sub regional meeting, in order to develop a stronger understanding on POPs, and to express their commitment to making resources available to fulfill the Conventions obligations.

3.5. Risk Analysis and Risk Management Measures

92. Under Component 1, due to the strong political element to the sanctioning of new regulations in countries, there is a risk that participating countries lack the appetite for establishing a comprehensive regulatory framework. On the more practical level, legislative drafting takes time and participating countries have very few legal drafters on staff. Therefore the project aims to provide assistance to participating countries by providing a model comprehensive framework, and in drafting amended and new regulations in line with this model. Such an approach negates the need for drafting legislation from scratch and instead allows participating countries to adapt the models available, to their own legislative situation. In addition, provision has been made in the project for development of national level chemical legislative plans to allow countries to consider and prioritize their legislative needs. Risks associated with Component 1 activities will also be mitigated by high level awareness raising activities being undertaken in partnership with SADC under Component 3 to increase high level understanding and political support for the implementation of the Stockholm Convention in the sub region.
93. Under Component 2 there is an assumption that provincial level staff, the private sector and other stakeholders, who currently have a low awareness of the Convention, understand the need to increase their awareness on chemicals management. To ensure this is the case, sensitization will need to be undertaken by POPs National Focal Points (NFPs). Sensitization activities will be undertaken in the first assistance through the National Coordinating Committees (NCCs), convened by NFPs. These Committees are envisaged as an extension of the work of NIP NCCs and will include members from various ministries, industry, and other stakeholders. Information and consultation on project activities will occur through this group. The risk that appropriate trainers cannot be identified, will be mitigated by focusing on POPs NFPs, all of whom have participated in numerous workshops convened by the Stockholm Convention Secretariat and possess a strong knowledge base. Additional trainers will be sought from relevant ministries including health and agriculture, to ensure further reach of trainers conducting training at the provincial level. Nominated "trainers" from agricultural and health

ministries, will ensure provincial agricultural and health staff will also benefit from training opportunities.

94. Under Component 3 risks associated with the CIEN revitalization have been discussed with UNEP Chemicals, and discussions indicate it possible to revitalize CIEN and that UNEP Chemicals are already working on such revitalization for the Latin American and Caribbean region. In addition several other projects are planning on rebuilding and revitalizing parts of CIEN, meaning there is an agency-wide effort to reinvigorate this tool. To ensure the CIEN is taken up on the national as well subregional level, provision has been made for training of both national webmasters and NFPs in the development of national websites for information exchange. The project will work closely with UNEP CIEN staff to execute this activity, and use experienced UNEP CIEN regionally-based consultants to undertake the training. Regarding the need to accurately identify vulnerable communities in participating countries, discussions with country representatives indicate most countries have identified potentially vulnerable communities. In addition governments noted they have strong links with civil society organizations which may be receptive to community training. To ensure vulnerable communities are reached, this activity will be executed in consultation with the civil society organisation that work closely with grassroots organizations. Regarding the political commitment of high-level representatives this has been agreed in principle by POPs national focal points on behalf of governments and discussions have been held with SADC. SADC has agreed to facilitate these activities, evidenced by the co-finance commitment letter included as Appendix 12. An MOU will be agreed with SADC at project inception. SADC has a small environment department, but has not previously dealt with chemicals issues. As such, SADC will benefit from programmatic links with ECOWAS who are more experienced in consulting their constituencies on chemicals. In addition, to ensure the project is not constrained by lack of capacity at SADC, UNEP and WWF will provide extensive support to SADC staff to ensure SADC's capacity to act as an efficient forum for raising the political commitment of high-level representatives.
95. There is also a general risk that this activity will be treated by participating countries as a discrete project, as opposed to an opportunity to build capacity in managing POPs and mainstreaming the obligations of the Stockholm Convention into national activities. This occurred with the NIP enabling activities. In order to mitigate this risk activities have been built into the project to empower POPs NFPs to continue POPs related activities once the project has completed. In this project NFPs will have certain responsibilities related to coordinating project activities, as well as opportunities to improve technical skills. Through sub regional activities NFPs will also have the opportunity to network with each other. This includes train the trainer activities, where POPs NFPs will become certified trainers and have an obligation to train a cadre of provincial level staff annually. This approach will enhance the technical capability of NFPs, and is designed to improve the confidence of NFPs. In addition to provincial level staff, the project targets groups that have hitherto not been addressed with regard to POPs management e.g. parliamentarian, judges, provincial level staff etc, thereby widening the scope of policy and decision makers who are knowledgeable about POPs.
96. In the case that it is not technically, or politically possible to revitalize the CIEN, an alternative knowledge management system will be created for the programme. This system would then be linked to the SAICM Information Clearinghouse to ensure it was linked to other activities on chemicals management.
97. In the event that the countries do not adopt the framework legislation, they will have to at least demonstrate that there has been an assessment of existing legislative and regulatory

frameworks, that any gaps that exist have been identified, and a plan as to how these will be addressed either through development of additional legislation or amendments to existing legislation are in the processes of being developed.

3.6. Consistency with National Priorities or Plans

98. Each of the participating countries have ratified the Stockholm Convention. All of the participating countries, with the exception of Angola and Swaziland have completed their National Implementation Plans.
99. Countries that participated in the consultation (Lesotho, Tanzania, Mozambique and Swaziland) to develop this project, prioritized areas for assistance under the three components. The activities under each component reflect the priorities of the SADC sub region, as agreed during the consultation.

3.7. Sustainability

100. The sustainability of this project relies on participating countries sufficiently strengthening capacity to continue implementing their individual NIPs in a comprehensive way after the completion of the project. That is, sustainability relies upon participating countries moving from a project based approach to POPs management, to functional mainstreaming of POPs and the sound management of chemicals into nationally driven activities. The NIP process was intended to pave the way for this. Unfortunately, in several of the LDCs SADC sub region, this did not occur. NIP development was largely treated as a discrete activity. The bulk of the work was contracted to qualified national and international consultants, and the final report was nationally endorsed. At the completion of the NIP, funding for the POPs NFP ceased, as did activities related to POPs.
101. Recognizing the above challenges and the commonality of this situation not only to the LDCs of the SADC sub region, but Africa-wide, this programme has been proposed. The project is sub regional in nature and aims to assist individual countries in mainstreaming POPs and chemicals management into national activities through building capacity in enforcement and administration and assist with the development of revised, or new legislation covering POPs. The consultations indicated that after the completion of NIPs, the role of POPs National Focal Points was significantly diminished. By training POPs NFPs as POPs "trainers" the project will provide a qualification and an ongoing role for these individuals to transfer their knowledge to provincial level staff and other government ministries.
102. In addition the information and dissemination component and the use of a knowledge management system, aims to provide participating countries with an opportunity to learn by example from the experience of other countries, ideally creating a community of practice among POPs NFPs. In addition, pilot education programs will also be conducted for vulnerable communities, ensuring that knowledge on POPs is transferred under the project to various sections of society.
103. By participating in this project countries should be in principle well equipped to continue NIP implementation, by designing and costing relevant activities, seeking funding where necessary, and identifying sources of co-finance.

3.8. Replication

104. Information exchange and dissemination forms a key component of this project. Recognizing the common challenges faced by LDCs in the sub region there is an opportunity to learn from each other. Furthermore, to ensure participating countries get the assistance they require, activities will differ among countries. For example, Sudan has specifically requested assistance in revising its pesticides act to be brought into line with the FAO Guidelines. To ensure maximum replicability all project reports and lessons learned documents will be stored on the knowledge management system. The knowledge management system will be user friendly with a news based appearance with links to longer project documents. This should ensure maximum usage and dissemination of the materials available.
105. Furthermore, the project utilizes the train the trainer model in several activities. This is to ensure the maximum opportunity to upscale project benefits. As well as the cohort of trainees, two "trainers" will be certified in each country and expected to undertake regular training with relevant identified staff.

3.9. Public Awareness, Communications and Mainstreaming Strategy

106. The project will execute activities on several levels from grass roots community groups, agricultural workers and farmers, provincial level environment staff, national level environment officers and the Ministerial level. Differing strategies will be used to communicate with each of these groups. These are outlined in the following paragraphs.
107. To increase public awareness the project will work through the POPs NFPs to communicate with the general public, and to identify potentially vulnerable community groups. Consultations suggested using radio broadcasts to explain the aims of the project, was an effective way to reach the general public. The knowledge management system will also be available to interested members of the public, however in rural areas access to the internet is scarce, and people are more readily informed by the radio, and in some countries TV.
108. Communications with agricultural workers will be coordinated by the POPs NFPs. In countries where existing networks exist, such as farmer field schools, awareness raising materials will be disseminated through these channels. The POPs NFP will also coordinate closely with the agricultural ministry to ensure field workers and other agricultural interest groups are identified and informed.
109. Regarding provincial or municipal level environment staff, communications will be channeled through the POPs NFP who will develop a database and network of environment officers. Training participants will be drawn from this network of individuals. A 6-monthly project newsletter will also be forwarded to this network to ensure they are kept up to date with project activities.
110. Ministerial level communications will be coordinated through SADC. SADC convenes ministerial meetings of environment ministers annually and will include the issue of mainstreaming chemicals financing to implement chemicals and wastes MEAs on their agenda.

3.10. Environmental and Social Safeguards

111. The objective of the project is to strengthen the capacity required in participating countries to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building on the countries' foundational capacities for sound chemicals management. It is expected that the project activities will have direct positive impact

on the environment and the health of vulnerable communities. Component 1 activities provide the opportunity for improved and enhanced chemicals legislation, and specific environmental and social risks are not envisaged under this activity. To be effective legislative reform requires the active participation of key stakeholders, this is address in Section 5.

112. Component 2 of the project involves training activities. Training of provincial environmental officers will involve minor field components, covering rapid assessment of contaminated sites. Communities living around potentially contaminated sites will be consulted.
113. Component 3 of the project involves identification of vulnerable communities. Community education and training will be conducted with pilot communities on POPs and preventing harm from chemicals. There is a risk that vulnerable communities may perceive they are worse off, once they become aware of the dangers of POPs. As such the project will ensure links are made with potential funders, and where possible provide assistance to communities to safeguard sites, to prevent further environmental and health impacts.

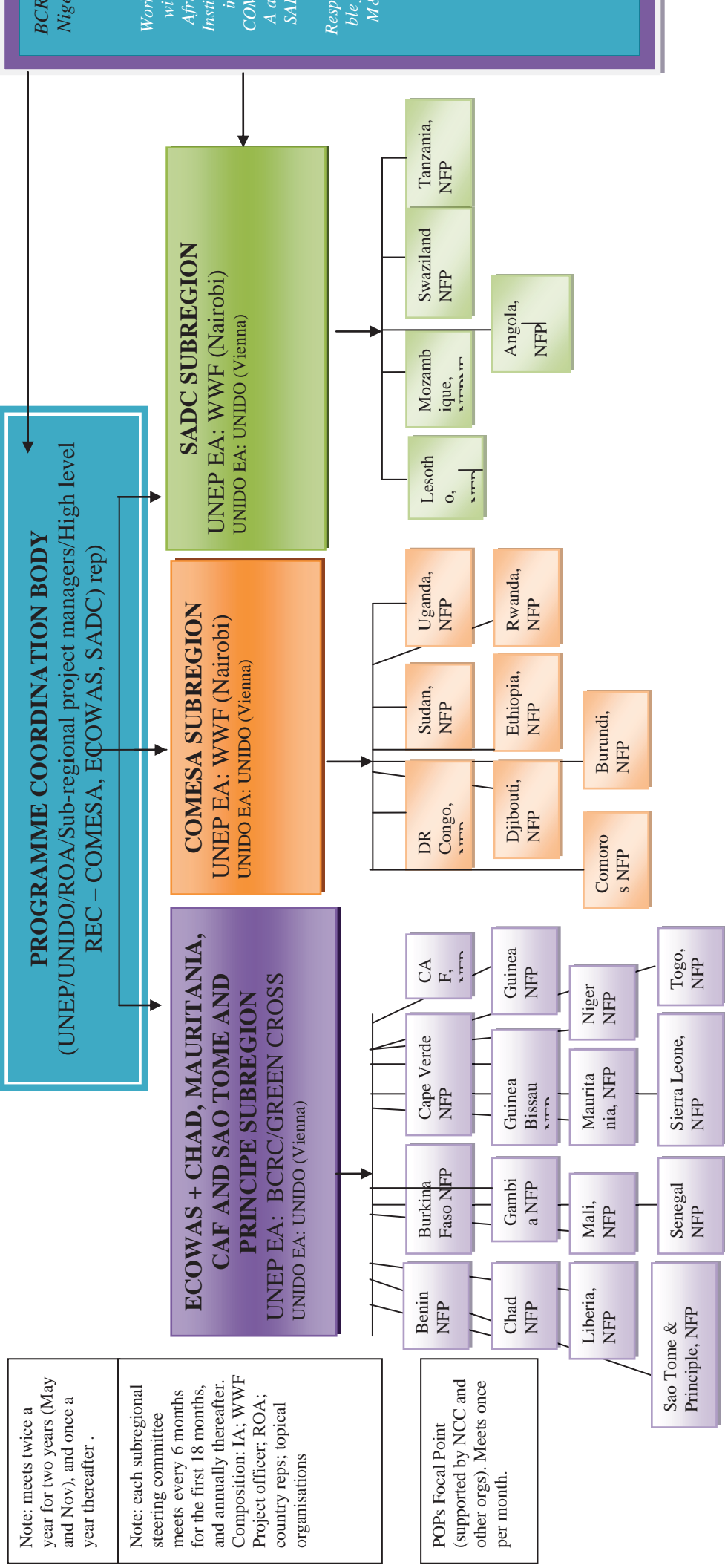
SECTION 4: INSTITUTIONAL FRAMEWORK AND IMPLEMENTATION ARRANGEMENTS

114. This 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. The other sub regions include COMESA and ECOWAS. Such an approach will make use of existing networks and allow south-south cooperation.
115. This project, focusing on LDCs in the SADC sub region is being jointly implemented by UNEP and UNIDO. UNEP is implementing the three components discussed in this project document, and UNIDO is implementing the components described in the UNIDO project document. The following paragraphs describe the institutional framework for the overall program, followed by specific implementation arrangements for this project. The overall programmatic structure is described in figure 2 (below).
116. The programmatic structure includes a program coordination body (PCB), comprising representatives from UNEP, UNIDO, executing agencies, regional economic commissions and the Basel Convention Regional Coordinating Centre (BCRCC). 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.
117. Sub regional steering committees are responsible for project execution. Steering Committees include representatives from UNEP, UNIDO, executing agency staff, POPs NFPs, the BCRCC and topical organizations relating to project execution. sub regional steering committees approve annual workplans, agree terms of reference for external consultants and oversee project activities. The steering committee provides 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 logframes and work plans will be reviewed and finalized.

118. 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 of ongoing activities.
119. The BCRCC Nigeria is responsible for programme monitoring and evaluation. The monitoring and evaluation plan is outlined in section 6.

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)
PROPOSED PROGRAMMATIC STRUCTURE



120. Project Implementation Arrangements:
121. UNEP - Implementing Agency
122. UNEP, as the GEF Implementing Agency (IA), will be responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures, and will provide guidance on linkages with related UNEP and GEF-funded activities. In addition to its role within the Programme Coordination Body, UNEP will ensure timeliness, quality and fiduciary standards in project delivery. UNEP will regularly monitor implementation of the activities undertaken during the execution of the project, and will be responsible for clearance and transmission of financial and progress reports to the GEF.
123. WWF Eastern And Southern Africa Programme Office (ESARPO) - Executing Agency
124. Based in Nairobi, WWF - ESARPO will be responsible for the execution of the project in accordance with the objectives and activities outlined in the workplan and activities schedule for this project. WWF will also cooperate with UNEP so as to allow the organization to fulfill its responsibility as IA accountable to the GEF. WWF will make available a part time project officer to undertake these tasks and to oversee the UNEP-GEF side of the project. UNIDO has designated execution arrangements for its components. The WWF project officer will liaise weekly with the UNIDO counterpart. The project officer will report to UNEP DGEF, as implementing agency for the project. The project officer will also communicate directly via email and skype calls with the POPs NFPs charged with coordinating activities at country level.
125. POPs NFPs
126. POPs NFPs are responsible for coordination of activities at the country level and with communicating with the project officer. Activities will include convening regular meetings of national project teams, and consulting across government and civil society on planned project activities. Under Component 1 POPs NFPs will work with the project officer to specify assistance required in relation to legal and regulatory frameworks and then work with external technical consultants. Under Component POPs NFPs will be requested to identify suitable candidates for training as well as formulating a database on national laboratories in order to allow the consultation with laboratories on available equipment. Under Component 3 POPs NFPs will assist in the identification of: local NGOs or community groups working on environmental issues; and potentially vulnerable communities. Also under this component POPs NFPs will work with the project officer and COMESA to garner high level support for a Ministerial meeting to increase high level support of the Stockholm Convention.
127. Other project partners
128. In addition to the project management structure outlined above, several other groups will be involved in project implementation. These include:

129. UNEP Chemicals is developing an Integrated Guidance on the Development of Legal and Institutional Infrastructures and Cost Recovery Measures for the Sound Management of Chemicals. It is envisaged that the integrated guidance produced by UNEP Chemicals will form a significant component of the comprehensive legislative framework model requested by SADC countries. To avoid duplication the project will collaborate with UNEP Chemicals and use this guidance document as the basis of the project's approach.
130. UNEP Chemicals have several requests from SADC LDCs to provide training on CIEN using the ESTIS system. UNEP Chemicals and UNEP will partner on the execution of the revitalization of CIEN. Activities will include sub regional training and then national level activities to build national databases suited to information exchange. To prepare for this collaboration UNEP Chemicals is surveying African LDCs on their specific information access and dissemination needs.
131. SADC will lead the execution of activities related to increasing high level awareness raising. Such an approach builds on the existing SADC's existing network of ministers and regular ministerial meetings. SADC will add further value by including non-LDCs in these activities. GEF funds will not be used to fund non-LDCs. SADC has also agreed to embark on resource mobilization activities to sustain ongoing activities related to chemicals management beyond the life of the project.
132. AUC in the training of the judiciary. Training will be undertaken at the programmatic level to take advantage of AUC's proposed regional approach which involves two workshops, one for Anglophone judiciary members and one for Francophone.
133. WWF have developed communication strategies and outreach materials on POPs. The project will collaborate with WWF on community targeted activities under Component 3. WWF are also working to build capacity of regional economic commissions and may lend support to judiciary training under Component 2.
134. International NGOs with experience in developing community education and training materials on POPs; and external consultants and training consultants for the execution of specific activities.

SECTION 5: STAKEHOLDER PARTICIPATION

135. Securing the participation of key stakeholders is an important aspect of all project components and a core aspect of Component 3 on information dissemination and sharing of experiences. A key activity in Component 3 is the development of pilot community education materials on POPs. These materials will be developed by an international NGO working on POPs education issues. The international NGO will work with the participating governments to identify locally based civil society groups and vulnerable communities for training.
136. Components 1 and 2 are largely centered on government activities, however training opportunities will be open to relevant members of the private sector and NGOs. Information on all project activities will be available to stakeholders through the knowledge management system.

SECTION 6: MONITORING AND EVALUATION PLAN

137. The project will follow UNEP standard monitoring, reporting and evaluation processes and procedures. Substantive and financial project reporting requirements are summarized in Appendix 8. Reporting requirements and templates are an integral part of the UNEP legal instrument to be signed by the executing agency and UNEP.
138. The project M&E plan is consistent with the GEF Monitoring and Evaluation policy. The Project Results Framework presented in Appendix 4 includes SMART indicators for each expected outcome as well as mid-term and end-of-project targets. These indicators along with the key deliverables and benchmarks included in Appendix 6 will be the main tools for assessing project implementation progress and whether project results are being achieved. The means of verification and the costs associated with obtaining the information to track the indicators are summarized in Appendix 7. Other M&E related costs are also presented in the Costed M&E Plan and are fully integrated in the overall project budget.
139. The M&E plan will be reviewed and revised as necessary during the project inception workshop to ensure project stakeholders understand their roles and responsibilities vis-à-vis project monitoring and evaluation. Indicators and their means of verification may also be fine-tuned at the inception workshop. Day-to-day project monitoring is the responsibility of the project management team but other project partners will have responsibilities to collect specific information to track the indicators. It is the responsibility of the Project Manager to inform UNEP of any delays or difficulties faced during implementation so that the appropriate support or corrective measures can be adopted in a timely fashion.
140. The project Steering Committee will receive periodic reports on progress and will make recommendations to UNEP concerning the need to revise any aspects of the Results Framework or the M&E plan. Project oversight to ensure project meets UNEP and GEF policies and procedures is the responsibility to the Task Manager in UNEP-GEF. The Task Manager will also review the quality of draft project outputs, provide feedback to the project partners, and establish peer review procedures to ensure adequate quality of scientific and technical outputs and publications.
141. Project supervision will take an adaptive management approach. The Task Manager will develop a project supervision plan at the inception of the project which will be communicated to the project partners during the inception workshop. The emphasis of the Task Manager supervision will be on outcome monitoring but without neglecting project financial management and implementation monitoring. Progress vis-à-vis delivering the agreed project global environmental benefits will be assessed with the Steering Committee at agreed intervals. Project risks and assumptions will be regularly monitored both by project partners and UNEP. Risk assessment and rating is an integral part of the Project Implementation Review (PIR). The quality of project monitoring and evaluation will also be reviewed and rated as part of the PIR. Key financial parameters will be monitored quarterly to ensure cost-effective use of financial resources.
142. A mid-term management review or evaluation will take place on in Month 30 of the project, as indicated in the project milestones. The review will include all parameters recommended by the GEF Evaluation Office for terminal evaluations and will verify information gathered through the GEF tracking tools, as relevant. The review will be carried out using a participatory approach whereby parties that may benefit or be affected by the project will be consulted. Such parties were identified

during the stakeholder analysis (see section 5 of the project document). The project Steering Committee will participate in the mid-term review and develop a management response to the evaluation recommendations along with an implementation plan. It is the responsibility of the WWF Task Manager to monitor whether the agreed recommendations are being implemented.

143. An independent terminal evaluation will take place at the end of project implementation. The Evaluation and Oversight Unit (EOU) of UNEP will manage the terminal evaluation process. A review of the quality of the evaluation report will be done by EOU and submitted along with the report to the GEF Evaluation Office not later than 6 months after the completion of the evaluation. The standard terms of reference for the terminal evaluation are included in Appendix 9. These will be adjusted to the special needs of the project.
144. The GEF tracking tools are attached as Appendix 7. These will be updated at mid-term and at the end of the project and will be made available to the GEF Secretariat along with the project PIR report. As mentioned above the mid-term and terminal evaluation will verify the information of the tracking tool.

SECTION 7: PROJECT FINANCING AND BUDGET

7.1 Budget by Project Component and UNEP Budget Lines

145. The overall project budget consists of GEF financing (USD 1,380,000; 47 percent of the total project cost); and co-financing (USD1,505,000 (including 100k per country [based on 4 countries] contributions); 53 percent of the total project cost). The budget was prepared for the GEF in accordance with the UNEP Budget line/Object of Expenditure format and is detailed in Appendices 1 and 2. The distribution of GEF funding and the co-financing, amongst the three components, is summarized in Table 2.

Table 2: Distribution of GEF and co-financing funds by project component

Component	GEF subtotal (USD)	Percentage of GEF co-financing	Co-finance subtotal (USD)	Percentage of co-financing
Component 1: Legislative and regulatory frameworks	390,000	72	30,000 (UNEP Chemicals) 18,333 (AUC ACPs) 100,000 (country co-finance) [148,333 total]	28
Component 2: Enforcement and administrative capacity	600,000	40	100,000 (country co-finance) 500,000 (SAICM) 90,000 (Stockholm) 200,000 (UNEP Chemicals) [890,000 total]	60

Component 3: Information sharing and dissemination	240,000	39	100,000 (country co- finance) 12,500 (WWF) 166,667 (SAICM) 76,667 (Stockholm) 24,350 (UNEP Chemicals) [380,184]	61
Component 4: Project Management	150,000	23	300,000 (ROA) 200,000 (country co- finance) [500,000 total]	77
Component 5: Monitoring and Evaluation	120,000	100	0	0
Total	1,500,000		1,918,517	

7.2 Project Co-Financing

- 8 The project co-financing (USD 1,918,517 or 56 percent of the total project cost) is supported by either in-kind as well as cash contributions. For this GEF project, the cash contributions total USD 1,668,517. This subtotal represents 86% of the total co-financing commitment and combines cash contribution in salaries, transportation, and administration directly supporting the project.
- 9 UNEP ROA is providing a large contribution relating programme oversight costs over five years. The SAICM Secretariat is providing USD 667,667 in the form of capacity building and information dissemination. Similarly, the Stockholm Convention Secretariat is providing USD 166,667 in the form of capacity building and information dissemination. The AUC, as part of work under the ACP MEAs Project is providing USD 18,333 of co-finance for activities related to improving legislation. UNEP Chemicals is providing USD 254,350 under its work to develop a toolkit on legislative and regulatory frameworks for chemicals.
- 10 National in-kind co-financing will also be provided by national governments. In addition, co-finance contributions have been agreed with the international NGOs that will act as executing partners including WWF. Co-finance commitment letters are included in Appendix 11. Final co-financing details will be reviewed during the Inception Workshop.

7.3 Project Cost-Effectiveness

- 11 Cost-effectiveness is the provision of an effective benefit in relation to the cost involved. The design of this project is based around sub regional activities, as well as country specific activities. The sub regional approach to training activities is considered cost-effective, as it reduces transaction costs, but the approach will also provide the value-added in the opportunities provided for south-south cooperation.
- 12 A further cost-effective enhancing measure is the programmatic approach into which this project fits. The programmatic approach allows costs to be shared among the three sub

regional projects. Although the projects differ in detailed activities, the three components remain consistent, and several activities will be executed in each region. This approach significantly enhances cost effectiveness, as well as the opportunities for south-south cooperation. For example the knowledge management system (CIEN) is included in each project and therefore the cost is divided between the three projects. Similarly, the model comprehensive chemicals regulatory system will be utilized in each project, and therefore the costs of developing this will be shared.

APPENDICES

Appendix 1&2: Budget for Project Components

Appendix 3: Incremental cost analysis

Appendix 4: Results framework

Appendix 5: Work plan and Timetable

Appendix 6: Key deliverables

Appendix 7: Costed Monitoring and Evaluation Plan

Appendix 8: Reporting requirements

Appendix 9: Standard Terminal Evaluation

Appendix 10: Decision-making flow chart

Appendix 11: Need Assessment Report – SADC Region

Appendix 12: Co-finance Commitment letters

RECONCILIATION BETWEEN GEF ACTIVITY BASED BUDGET AND UNEP BUDGET BY EXPENDITURE CODE (GEF FINANCE ONLY)

Project No:

Project Name:

Executing Agency:

Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the SADC Sub region

GEF BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY							GEF ALLOCATION BY CALENDAR YEAR						
		1. Legislative and regulatory framework development US\$	2. Enforcement and administrative capacity US\$	3. Info exchange and dissemination US\$	4. Project Management US\$	5. Monitoring and Evaluation	Total US\$	Year 1 US\$	Year 2 US\$	Year 3 US\$	Year 4 US\$	Year 5 US\$	Total US\$
Object of expenditure against UNEP budget codes													
Budget line													
10	PERSONNEL COMPONENT												
1100	Project personnel												
	1101 Project coordinator / ROA	0	0	0	0		0	0	0	0	0	0	0
	1102 Project coordinator / WWF	0	0	0	75,000		75,000	15,000	15,000	15,000	15,000	15,000	75,000
	1199 sub-total	0	0	0	75,000	0	75,000	15,000	15,000	15,000	15,000	15,000	75,000
1200	Consultants												
	1201 local consultant - legal	30,000	0	0	45,000		75,000	25,000	12,500	12,500	12,500	12,500	75,000
	1221 framework	25,000	0	0	0		25,000	12,500	12,500	0	0	0	25,000
	1222 2 regional consultants for Stockholm Convention train-the-trainer	0	17,000	0	0		17,000	0	17,000	0	0	0	17,000
	1223 1 regional consultant laboratory assessment	0	5,000	0	0		5,000	0	5,000	0	0	0	5,000
	1224 1 regional ESTIS/CIEN consultant	0	0	3,000	0		3,000	0	3,000	0	0	0	3,000
	1251 int expert: legal	50,000	0	0	0		50,000	25,000	25,000	0	0	0	50,000
	1252 int consultant: Sector specific regulation development	20,000	0	0	0		20,000	20,000	0	0	0	0	20,000
	1253 int consultant: Design of Stockholm Convention train-the-trainer course	0	4,000	0	0		4,000	0	4,000	0	0	0	4,000
	1254 int consultant: Economic instrument	0	10,000	0	0		10,000	0	10,000	0	0	0	10,000
	1256 int training advisor	0	52,000	0	0		52,000	10,000	12,000	10,000	10,000	10,000	52,000
	1256 int technical review (legal)	16,000	0	0	0		16,000	8,000	8,000	0	0	0	16,000
	1257 int Judiciary training expert	0	4,000	0	0		4,000	4,000	0	0	0	0	4,000
	1258 int laboratory consultant	0	11,000	0	0		11,000	0	5,000	6,000	0	0	11,000
	1259 int ESTIS/CIEN trainer	0	0	5,000	0		5,000	0	5,000	0	0	0	5,000
	1299 sub-total	141,000	103,000	8,000	45,000	0	297,000	104,500	114,000	33,500	22,500	22,500	297,000
1300	Administrative Support												
	1301 Support staff	0	0	0	0		0	0	0	0	0	0	0
	1399 sub-total	0	0	0	0	0	0	0	0	0	0	0	0
1600	Travel on Official business												
	1622 travel regional experts and DSA	48,000	45,000	4,000	0		97,000	24,000	60,000	13,000	0	0	97,000
	1623 travel international experts and DSA	38,000	6,000	4,000	0		48,000	32,000	10,000	6,000	0	0	48,000
	1699 sub-total	86,000	51,000	8,000	0	0	145,000	56,000	70,000	19,000	0	0	145,000
1999	Component total	227,000	154,000	16,000	120,000	0	517,000	175,500	199,000	67,500	37,500	37,500	517,000
20	SUBCONTRACTS												
	2101 Webdeveloper - developing Programme management system	0	0	10,000	0		10,000	10,000	0	0	0	0	10,000
	2102 POPs communication strategy	0	0	80,000	0		80,000	0	30,000	30,000	20,000	0	80,000
	2103 REC High Level Awareness Raising	0	0	49,000	0		49,000	9,000	40,000	0	0	0	49,000
	2104 National plan comprehensive framework implementation	155,000	0	0	0		155,000	0	50,000	50,000	40,000	15,000	155,000
	2105 ESTIS Platform build	0	0	50,000	0		50,000	0	15,000	20,000	15,000	0	50,000
	2199 sub-total	155,000	0	139,000	0	0	344,000	19,000	105,000	100,000	85,000	35,000	344,000
2999	Component total	155,000	0	139,000	0	0	344,000	19,000	105,000	100,000	85,000	35,000	344,000
30	TRAINING COMPONENT												
3200	Group Training												
	3201 Stockholm Convention provincial level training	0	70,000	0	0		70,000	0	35,000	35,000	0	0	70,000
	3202 National Stockholm Convention training	0	150,000	0	0		150,000	0	70,000	80,000	0	0	150,000
	3203 Economic instruments training	0	30,000	0	0		30,000	0	0	30,000	0	0	30,000
	3204 National economic instrument activities	0	126,000	0	0		126,000	0	0	60,000	60,000	6,000	126,000
	3205 Judiciary training	0	70,000	0	0		70,000	0	70,000	0	0	0	70,000
	3206 Web-masters ESTIS training	0	0	20,000	0		20,000	0	0	20,000	0	0	20,000
	3299 sub-total	0	446,000	20,000	0	0	466,000	0	105,000	215,000	140,000	6,000	466,000
3300	Meetings/Conferences												
	3301 Project steering committee	4,000	0	10,000	20,000		34,000	9,500	9,500	6,000	6,000	3,000	34,000
	3302 Programme Coordination	4,000	0	5,000	10,000		19,000	5,500	5,500	3,000	3,000	2,000	19,000
	3399 sub-total	8,000	0	15,000	30,000	0	53,000	15,000	15,000	9,000	9,000	5,000	53,000
3999	Component total	8,000	446,000	35,000	30,000	0	519,000	15,000	120,000	224,000	149,000	11,000	519,000
40	EQUIPMENT COMPONENT												
4100	Expendable Equipment												
	4101 Operating costs	0	0	0	0		0	0	0	0	0	0	0
4200	Non-expendable Equipment												
	4201 computer, fax, copier, projector	0	0	0	0		0	0	0	0	0	0	0
	4299 sub-total	0	0	0	0	0	0	0	0	0	0	0	0
4999	Component total	0	0	0	0	0	0	0	0	0	0	0	0
50	MISCELLANEOUS COMPONENT												
5200	Reporting Costs												
	5201 Information dissemination	0	0	0	0		0	0	0	0	0	0	0

[illegible]

RECONCILIATION BETWEEN GEF ACTIVITY BASED BUDGET AND UNEP BUDGET BY EXPENDITURE CODE (TOTAL GEF & COFINANCE)

Project No:

Project Name: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the SADC Sub region
 Executing Agency: UNEP

Budget line	Description	GEF Total US\$	WWF Cash	AUC ACPs Cash	UNEP ROA Kind	Countries Cash	SAICM Sec Kind	Stockholm Sec Kind	UNEP Chemicals (Kemi) Kind	SADC Cash	Kind	Total Co- funding	Total (GEF + Co- funding)
10	PERSONNEL COMPONENT												
1100	Project personnel												
1101	Project coordinator / ROA	75,000			300,000	0						300,000	300,000
1102	Project coordinator/WWF	75,000										0	75,000
1199	<i>sub-total</i>											0	75,000
1200	Consultants											0	0
1201	local consultant - legal	75,000		18,333								18,333	93,333
	<i>Subtotal local task teams</i>	75,000										0	75,000
1221	Regional consultant for development of national plan	25,000							10,000			10,000	35,000
1222	2 regional consultants for Stockholm Convention train	17,000										0	17,000
1223	1 regional consultant laboratory assessment	5,000										0	5,000
1224	1 regional ESTIS/CIEN consultant	3,000										0	3,000
	<i>Subtotal regional consultants</i>	50,000										0	50,000
1251	int expert: legal	50,000							10,000			10,000	60,000
1252	int consultant: Sector specific regulation development	20,000										0	20,000
1253	int consultant: Design of Stockholm Convention train	4,000										0	4,000
1254	int consultant: Economic instrument	10,000										0	10,000
1255	int training advisor	52,000										0	52,000
1256	int technical review (legal)	16,000										0	16,000
1257	int Judiciary training expert	4,000										0	4,000
1258	int laboratory consultant	11,000										0	11,000
1259	int ESTIS/CIEN trainer	5,000										0	5,000
	<i>subtotal international consultants</i>	172,000										0	172,000
1299	<i>sub-total</i>	297,000										0	297,000
1300	Administrative Support											0	0
1301	Support staff											0	0
1399	<i>sub-total</i>	0										0	0
1600	Travel on Official business											0	0
1622	travel regional experts and DSA	97,000										0	97,000
1623	travel international experts and DSA	48,000										0	48,000
1699	<i>sub-total</i>	145,000										0	145,000
1999	Component total	517,000										0	517,000
20	SUBCONTRACTS											0	0
2101	Webdeveloper - developing Programme management	10,000										0	10,000
2102	POPs communication strategy	80,000										0	80,000
2103	REC High Level Awareness Raising	49,000										0	49,000
2104	National plan comprehensive framework implementation	155,000	12,500									12,500	167,500
2105	ESTIS Platform build	50,000				100,000			10,000			110,000	160,000

APPENDIX 3: INCREMENTAL COST ANALYSIS

BROAD DEVELOPMENTAL GOALS

In 2007, the global chemical industry realised an estimated turnover value of about €2,320 billion (US\$ 3,180) (UNEP, 2010). More than 20 million people worldwide are employed directly or indirectly by the chemical industry, with millions of chemicals on the market and new ones produced each year. The increasingly widespread presence and use of chemicals worldwide generates an enormous burden for monitoring authorities to assess the effects of each new chemical, let alone their cumulative effects, on human beings and on the environment.

Recently, the chemicals industry has begun moving operations into developing countries that are less prepared to manage chemicals and wastes in a safe and sustainable manner. While 80% of the world's total output of chemicals came from 16 OECD countries in 2001, it is predicted that by 2020 developing countries will lead the world in growth rates for high volume industrial chemicals production (i.e. those produced at more than 1000 tonnes per year) increasing their share of the world's chemical production to 31% (UNEP, 2010).

Likewise, chemical consumption in developing countries is growing much faster than in developed countries and could account for a third of global consumption by 2020. While the use of chemicals is essential and waste generation inherent to modern economies, the unsound management of both chemicals and wastes can have significant negative impacts on the environment and public health. The poor are often those most affected by these adverse impacts. Addressing the environmental and health hazards associated with chemicals and wastes is therefore becoming increasingly crucial to ensure that hard won development gains are not undone.

As of 2002, unsafe waste disposal practices that cause irreversible environmental and health concerns, such as open dumping, ocean dumping or on-site burning were still practiced in at least 175 countries, the transboundary movement of wastes from countries with more stringent standards to those with less stringent or poorly enforced standards continues to be of great concern.

Article 3 of the Stockholm Convention on Persistent Organic Pollutants requires parties to undertake measures to reduce or eliminate releases from intentional production and use, including that *“Each Party shall prohibit and/or take the legal and administrative measures necessary to eliminate: its import and export of the and export of the chemicals listed in Annex A.”* The Convention also states that parties will undertake measures to eliminate releases from stockpiles and wastes including that these are *“not permitted to be subjected to disposal operations that may lead to recovery, recycling, reclamation, direct reuse or alternative uses of POPs; and endeavour to develop appropriate strategies for identifying sites contaminated by chemicals listed in Annex A, B or C”*.

While countries of the Region are committed and strive to attain sustainable development, and have completed their NIPs, implementing NIPs and meeting the provisions of the convention remains a challenge. Indeed, this is mainly due to insufficient legislative and regulatory frameworks, and associated enforcement capacity, across all levels of government. The broad developmental objective of the project is to strengthen and build the capacity required in LDCs and SIDS of the SADC subregion to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while contributing to strengthening countries' foundational capacities for sound chemicals management. This will be achieved through assistance with developing comprehensive legislative and regulatory frameworks for chemicals management, providing training to all levels of government on the Stockholm Convention, its provisions and methods of

enforcement, and by putting in place a knowledge management system to allow countries to exchange information and knowledge.

BASELINE

The overriding concern of participating countries is to execute the action plans elaborated in their individual NIPs. Although, all but one participating country has completed its NIP, implementation is yet to be initiated. Under baseline conditions activities relating to Stockholm Convention implementation are extremely limited.

POPs National Focal Points positions are funded by governments and individuals filling these positions generally have significant responsibilities in addition to implementing governments' responsibilities under the Convention. As such, activities related to implementing the Stockholm Convention are often limited to mandatory reporting to the Convention Secretariat and attendance at international meetings, such as the Conference of the Parties.

Although not systematically completed and evaluated, current national budget (based on the annual salary of POPs NFPs) is assumed as the amount of current financing from each of the participating countries. This is shown in Table 1.

Table 1: Baseline budget for capacity building activities to implement the Stockholm Convention by participating countries

	Component 1	Component 2	Component 3	Component 4
Tanzania	0	0	0	5,000
Swaziland	0	0	0	5,000
Lesotho	0	0	0	5,000
Angola	0	0	0	5,000
Mozambique	0	0	0	5,000
Total	0	0	0	25,000

INCREMENTAL PROCESS

The incremental activities proposed in this project essentially equate to the total cost of the project minus the salary of the POPs NFPs. The activities proposed implant a solid and systematic basis for improving and strengthening capacity for countries to effectively and comprehensively implement their respective NIPs. Alternatives to the project are inadequate as participating countries have stated that without support, they cannot initiate activities included in their NIPs. This capacity deficiency is evidenced by the lack of applications for GEF funding, from participating countries. The current project, however, targets key areas identified in each of the participating countries' NIPs and provides assistance in improving regulatory frameworks, training in effective enforcement at all levels of government, and provides a platform for ongoing information exchange and peer-to-peer learning. In addition, the five-year project is designed to sustainably increase the capacity of NFPs and other stakeholders' understanding of the GEF process, and ability to access these funds, as well as necessary co-finance. The subregional approach to the project means that countries receive specialized assistance for unique challenges, and benefit from group training with neighbouring peers.

Article 3 of the Stockholm Convention states that each Party shall: *“Prohibit and/or take the legal and administrative measures necessary to eliminate: its production and use of the chemicals listed*

in Annex A subject to the provisions of that Annex; and its import and export of the chemicals listed in Annex A in accordance with the provisions of paragraph 2.”

Essentially all participating countries lack adequate legal and regulatory frameworks to effectively manage POPs, and as such, existing enforcement measures are minimal and largely ineffective. This situation is exacerbated by a lack of stakeholder knowledge about the existence of the Stockholm Convention and dangers of chemicals, particularly POPs.

This project will contribute to the GEF’s strategic priorities of POPs.

Secondarily the project will also contribute to:

- a) Targeted (foundational) capacity building
- b) Management and dissemination of information on integrated management of POPs including best management practices.

The project builds on activities being undertaken in participating countries, including the Africa Stockpiles Programme and various Strategic Approach to International Chemicals Management (SAICM) Quick Start Programme activities, and aims to achieve the following goals:

- a) Improved chemicals legislative and regulatory frameworks in participating countries;
- b) Enhanced enforcement and administrative capacity in participating countries; and
- c) A coordinated awareness raising system on a national, and knowledge management system, on regional level in place.

DOMESTIC BENEFIT

The benefit to the local populations derived from the project in the pilot areas is substantial. The most significant benefit will be the reduction of risk of exposure to POPs, in vulnerable communities. This will be achieved through working closely with POPs NFPs and NGOs to identify vulnerable communities, training local NGOs in providing education to vulnerable communities on POPs, and piloting this training in two communities per participating country. Each of the participating countries has listed increased stakeholder education on POPs, as a key priority in its implementation of the Stockholm Convention. However activities are yet to be initiated on the ground. GEF activities will therefore kick start these activities that have been planned and prioritized, but not implemented. The training of both community groups and NFPs is envisaged to lead to increased confidence in these groups on POPs issues and management. The pilot activities are designed to build momentum for future activities.

At the provincial level, increased capacity of environment inspectors will directly assist in reducing risks posed to human health and the environment from POPs and other hazardous chemicals. This will be achieved by training provincial level environment inspectors. Additionally two participants will be certified as trainers, in order that they are able to carry out training for provincial level staff regularly. Anecdotal evidence suggests provincial staff have little knowledge on POPs and sound chemicals management, and therefore their environmental inspection activities relating to chemicals are ineffective. GEF activities outlined in this project are designed to complement activities on the ground, by up-skilling existing environmental inspectors, to ensure they have the capacity to identify chemical hazards, associated risks to the receiving environment, and to mitigate these risks.

Another benefit of the project will be the strengthening of the capacity of POPs NFPs at the national level for planning, implementing and evaluating POPs activities. This includes requesting and earmarking national budgetary funds for POPs activities. In addition, this project aims to equip POPs

NFPs with the skills and understanding of the GEF process to enable them to design future activities, seek project co-finance, and to continue to implement actions details in NIPs.

INCREMENTAL BENEFIT

In the long run the activities contained in the present GEF project brief will benefit the global community by increasing the knowledge, skills and experiences in participating countries on managing POPs. This trained cadre of individuals, will contribute to the decrease of releases of POPs to the receiving environment and reduce illegal POPs traffic. The current project will be implemented on a subregional basis thereby providing the opportunity for peer to peer learning and south-south cooperation. The subregional approach is expected to result in a network of trained professionals across the subregion, capable of working together to manage POPs. Outcomes of the pilot activities being undertaken in this project will also provide sufficient evidence for replicability in other regions. The potential for replication is enhanced by the knowledge management system which is expected to enhance dissemination of information on project activities and lessons learned.

Clearly, capacity building for the management of POPs and the implementation of NIPs has features of incrementality in providing global benefits while at the same time giving rise to significant domestic benefits (including reduced risk for local vulnerable populations, and enhanced skills of environment staff at national and provincial level). It is therefore appropriate for government co-financing to be targeted on these aspects of capacity building as proposed under this project.

The global and local benefit of the project and incremental cost is described in Table 2 matrix. Baseline expenditures were estimated at US\$25,000 while the alternative has been US\$3,418,517. The incremental cost of the project US\$3,393,517 is required to achieve the project's global environmental benefit of which the amount US\$1,500,000 is requested from GEF. This amounts to 44% of the total incremental cost. The remaining amount US\$1,919,517 or 56% of the total project costs will be provided by co-financing by the participating countries, and other partners, including the Stockholm and SAICM Secretariat's, UNEP Chemicals, and the UNEP Regional Office for Africa.

TABLE 2: INCREMENTAL COST ANALYSIS AND BASELINE COST

	Baseline	Alternative	Increment (A-B)
Global Benefits	<ul style="list-style-type: none"> Activities to implement obligations of the Stockholm Convention limited to obligatory annual reporting in LDCs and SIDS of the COMESA Africa subregion. <p>Baseline \$ 0</p>	<ul style="list-style-type: none"> Enhanced national level activities, including revised legislative and regulatory frameworks; Cadre of trained individuals in enforcement, decreased releases of POPs to the receiving environment and reduce illegal POPs traffic; and Outcomes of the pilot activities replicated and scaled up. <p>Alternative \$ 5,418,329</p>	Increment \$5,418,329
Domestic Benefits	<ul style="list-style-type: none"> Limited capacity for implementation of Stockholm Convention obligations and NIP implementation; Limited capacity to develop activities to propose for funding under GEF, or to attract co-finance; Limited capacity to review legislative and regulatory frameworks to comprehensively address chemicals and POPs; Limited capacity for enforcement; Limited engagement with stakeholders and vulnerable communities 	<ul style="list-style-type: none"> Enhanced capacity to plan, implement and evaluate NIP activities; Improved capacity to develop activities eligible for GEF funding and to identify co-finance; Enhanced capacity to review legislative and regulatory frameworks to comprehensively address chemicals and POPs; Improved capacity to effectively enforce legislation and regulation; and Enhanced engagement with stakeholders and vulnerable communities on chemicals and POPs issues. 	

Components	Baseline	Alternative	Increment (A-B)
<i>Component 1: Model legislative and regulatory framework developed and utilized;</i>	<ul style="list-style-type: none"> • Lack of model comprehensive legislative and regulatory framework; • The lack of national capacity to plan, develop and draft comprehensive chemicals legislative and regulatory framework; • Limited capacity for reviewing existing pesticides acts against FAO Code of Conduct; and • Poor project management and implementation skills. <p>Total: US\$ 0</p>	<ul style="list-style-type: none"> • Model comprehensive legislative and regulatory framework available; • Enhanced national capacity to develop and draft components of a comprehensive chemicals legislative and chemicals framework; • Increased capacity to review and update pesticides acts to be in line with FAO Code of Conduct; and • Considerably improved capacity for project management and implementation. <p>Total: US\$538,333</p>	<p>Total: US\$538,333</p> <p>Co-finance: US\$ 148,333 Cost to GEF: US\$ 390,000</p>
<i>Component 2: Sustainable enforcement and administrative capacity achieved</i>	<ul style="list-style-type: none"> • Limited enforcement and administrative capacity, and at provincial level, limited knowledge of the Stockholm Convention and its provisions; • Limited ability of POPs NFPs to conduct training for provincial staff on the Stockholm Convention; • Lack of ability of Quarantine and Customs staff to accurately monitor illegal traffic; • Limited knowledge of the judiciary and the Ministry of Finance on the Stockholm Convention; and • Lack of consolidated database on subregional laboratories and associated capabilities. 	<ul style="list-style-type: none"> • Increased enforcement and administrative capacity, ad at provincial level, significantly increased knowledge of the Stockholm Convention and national obligations under it; • Enhanced ability of POPs NFPs to conduct training on the Stockholm Convention; • Guidelines on illegal traffic prevention available and enhanced capacity of Quarantine and Customs staff to monitor illegal traffic; • Increased knowledge of the judiciary and the Ministry of Finance on the Stockholm Convention and national obligations under it; and • Comprehensive, up to date, accurate and accessible network of laboratories and analytical capabilities available and used to improve enforcement through accurate analysis of samples. 	<p>Total: US\$1,490,000</p> <p>Co-finance: US\$890,000 Cost to GEF: US\$ 600,000</p>

	Total: US\$ 0	Total: US\$ 1,490,000	
<i>Component 3: Coordinated information and dissemination raising awareness; raising system;</i>	<ul style="list-style-type: none"> • Lack of knowledge management database to share information, embark on peer-to-peer learning and south-south cooperation; • Lack of POPs education and training materials (including new POPs) available for use of grassroots NGOs for community activities; and • Absence of high-level political support and awareness of the Stockholm Convention. 	<ul style="list-style-type: none"> • Chemical Information Exchange Network is reactivated as a knowledge management system; • Training materials available, grassroots NGOs trained and actively working with vulnerable communities on POPs; and • SADC countries declare commitment to the implementation of the Stockholm Convention and to making resources available through a subregional declaration. 	Total: US\$ 620,184 Co-finance: US\$380,184 Cost to GEF: US\$240,000
	Total: US\$ 0	Total: US\$620,184	
<i>Component 4: Project management</i>	<ul style="list-style-type: none"> • Limited staff and structures dedicated to implementation and evaluation of the project. 	Effective national and regional collaboration to produce project outcomes with required standards of monitoring, evaluation and active participation of stakeholders in project activities at national and regional levels.	Total: \$6500,000 Co-finance: US\$500,000 Cost to GEF: US\$150,000
	Total US\$150,000	US\$650,000	

Project Logical Framework and Objectively Verifiable Impact Indicators

Project Objective Strengthen and/or build the capacity required in LDCs in SADC Africa subregion to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening country's foundational capacities for sound management of chemicals.					
Outcome	Baseline	Target	Objectively Verifiable Impact Indicators	Sources of Verification	Risks and Assumptions
Component 1 Legislative and regulatory framework in place					
1. Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.	1. No country in the SADC subregion has comprehensive regulatory system in place for chemicals. (Several countries have sectoral regulations requiring revision to take account of the requirements of the Stockholm Convention. Framework legislation is also required).	1. 2 countries have work plans for comprehensive regulatory framework developed.	- Work plans	1. Review of work plans.	Countries have appetite for developing comprehensive regulatory system.
2. Model sector-specific regulations developed for incinerator operation, contaminated sites, and biopesticides thereby enabling sectors to comply with the Stockholm Convention.	2. Absence of regulations for incinerator operation, contaminated sites, and biopesticides in SADC region.	2.1 2 countries have developed and drafted chemicals regulation. 2. 2 countries have used model regulations to develop sector-specific regulations.	No. of draft chemicals and sector regulations developed	2. Review of draft regulations.	
Component 2 Sustainable enforcement and administrative capacity established, and enforcement of Stockholm Convention provisions undertaken.					
1. Train-the-trainer for national level environment staff, provincial level environmental staff, and	1. No provincial level staff have been trained on the obligations of the Stockholm Convention in	1. 5 provincial level staff trained in each participating country.	- Training records - Number of trained officials	1. Training records 2. Toolkits	

private sector stakeholders, on the Stockholm Convention and hazardous wastes creates a cadre of trained personnel able to train others on the Stockholm convention.	SADC subregion.	Two “trainers” trained in each participating country.	- Number of trained trainers -Number and types and toolkits developed	
2. Training in use for economic instruments for environment and legal drafting staff enhances their ability to use these instruments to develop national enforcement measures.	2. Lack of awareness of how to use economic instruments for enforcement in SADC region.	2. 1 environment and 1 legal staff member trained in the use of economic instruments per county.		
3. Training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions leads increased support for implementation and active and enforcement of the convention by these sectors	3. No Stockholm Convention training materials, specifically targeting the judiciary, or Ministry of Finance, currently available.	3. Three judges and 2 MOF staff trained per participating country. Tool kit developed, and judiciary and Ministry of Finance staff trained on the Stockholm and other chemicals conventions.	3. Training records and tool-kit.	2. Availability and interest of legal staff in training.
4. Comprehensive, accurate and accessible database and network on laboratories exists and is used by countries to identify options for sample analysis.	4. No comprehensive, accurate and accessible database exists on laboratories in the subregion.	4. Network and database of subregional laboratories, including information on equipment, staff capability, and analytical capability, developed.	4. Subregional laboratory network available online (on Chemical Information Exchange Network).	
Component 3 Experiences and good practices disseminated and shared.				
1. Platform reactivated as a knowledge management system and	1. CIEN platform exists but is inactive.	1. Revitalize the Chemical Information	- CIEN or other information platform	1. Platform reactivated, number of hits per

actively utilized by participating countries.			Exchange Network (CIEN) as a knowledge management system. 2. 1 Training in the development of communication strategies for POPs 2.2. All relevant sectors and stakeholders engaged in the implementation of project activities. 3. Two pilot communities trained in each participating country.	- Accessibility of the information platform - Communication development toolkit - Training records - National communication strategy documents	week. 2.1 Communication strategy. 2.2 Training reports. 2.3 Cross sectoral platform set up in each country to implement the activities. 3. Training reports.	3. Vulnerable communities can be identified. Local NGOs available and interested in working on this activity. 4. Sufficient political will to make a declaration.
2. Communication strategy developed (or updated in the case of Tanzania) in each participating country.	2. Tanzania has a communication strategy for pesticides, but requires revision to include all POPs. Lack of communication strategies in other countries in SADC subregion.					
3. Development of POPs education materials (including on 9 new POPs), and pilot community training, working with local NGOs and focusing on vulnerable communities leads to increased awareness of communities on the dangers posed by POPs	3. Little systematic targeting for training has been conducted for POPs-vulnerable communities in this region.					
4. SADC countries make a declaration committing to implement the Stockholm Convention, and, if required, to make resources available.	4. Absence of high-level support for implementation of the Stockholm Convention in the SADC forum.		4. Bring high-level representatives to SADC forum, to increase high level awareness on the Stockholm Convention.	- Meeting report/s - High level declaration	4. SADC declaration on POPs and chemicals management	

Appendix 6: Key deliverables and benchmarks

Key deliverables	Time line (months after project start)
<ol style="list-style-type: none"> 1. Inception meeting of the Programme Coordination Body 2. Agreement between UNEP GEF and WWF. 3. Establishment of Project management Unit at WWF. 4. Contact with POPs National Focal Points and identification of lead ministry in each country. Establishment or revitalization of the National Coordination Committees (NCC) in project countries. 5. Inception meeting of the SADC subregional Project Steering Committee, convened by UNEP and WWF. 	1-3
<ol style="list-style-type: none"> 6. Recruitment of legal consultant and development of comprehensive chemicals regulatory framework. 7. National-level finalized plans for comprehensive framework development. 	2-17
<ol style="list-style-type: none"> 8. Recruitment of sector-specific regulation consultant. 9. Regulations piloted in participating countries. 10. Guidelines for Case study developed. 	2-12
<ol style="list-style-type: none"> 11. Training expert develops training guidance for train the trainer on the Stockholm Convention and related MEAs 12. Trainers and trainees (Provincial level) identified 13. Training schedule agreed 	12-18
<ol style="list-style-type: none"> 14. National level train the trainer programme on Stockholm Convention and related MEAs 15. Training guidance and case studies on knowledge management system 	19-24
<ol style="list-style-type: none"> 16. Recruitment of economic instruments consultant. 17. Development of training materials 18. Subregional training convened. 	13-28
<ol style="list-style-type: none"> 19. Toolkit developed for regional level judiciary training session. 20. Trainees identified. 21. Judiciary training completed in partnership with AUC 22. Toolkit and case studies on knowledge management system 	7-12
<ol style="list-style-type: none"> 23. Laboratory expert verifies laboratory facilities, analytical capability and personnel capability in the subregion. 24. Survey and consultation undertaken with participating countries 25. Database developed and uploaded to the knowledge management system 	18-32
<ol style="list-style-type: none"> 26. Redesign of the CIEN as a knowledge management system for the Programme. 	1-14
<ol style="list-style-type: none"> 27. Identification of an NGO partner, as well as national and local level civil society organizations, and vulnerable communities. 28. Educational materials and train the trainer programme developed. 29. Community-level train the trainer with POPs-vulnerable communities 	24-43
<ol style="list-style-type: none"> 30. Identification of NGO experienced at developing POPs Communication Strategies 31. Training materials developed. 32. Country-level training conducted. 	18-37
<ol style="list-style-type: none"> 33. High level support established for POPs management through working with RECs to consult Ministers 34. Declaration of support for POPs 	24-48
<ol style="list-style-type: none"> 35. Midterm evaluation and report 	27-30
<ol style="list-style-type: none"> 36. Terminal report 	53-54
<ol style="list-style-type: none"> 37. Terminal evaluation and report 	54-60

Appendix 7 – Costed Monitoring and Evaluation Plan

Monitoring and Evaluation

1. UNEP (DGEF and ROA) will be the Implementing Agency of the project, supervising its progress and providing technical, administrative and financial oversight on behalf of the GEF.
2. WWF will execute the project through a project cooperation agreement with UNEP.
3. UNEP and WWF will establish a ***Project Steering Committee*** (PSC). The PSC will be responsible for the supervision and follow up of the implementation of the project. The PSC will also provide strategic guidance and approve annual workplans and budgets. The PSC will comprise representatives of UNEP, WWF, the financial institutions supporting the project (GEF), 5 national governments (national coordinators), the Basel Convention Regional Coordinating Centre (Nigeria) and relevant regional Civil Society Organisations. The project coordinator will attend PSC meetings in an ex-officio capacity.
4. The PSC will meet every six months for the first 18 months of the project, and then every year thereafter, to evaluate the progress of the project. The first of these physical meetings will be held within 3 months of the start of the project and review detailed implementation plans for phase 1 of the project.
5. Some PSC meetings will be held through teleconferences and / or by email or during planned regional workshops. The timing of these meetings will be flexible to optimise the review process but Table 13 below shows the project outputs likely to be available to the physical progress review meetings held annually after a first meeting in the 12th month of project implementation.
6. The Secretariat of PSC will be provided by the Project Management Unit (PMU) supported by the host institution (WWF) for physical meetings and for ‘electronic meetings’.
7. Day-to-day management and monitoring of project activities, and any consultants and subcontractors recruited to undertake them, will be the responsibility of the project management unit within the executing agency ROA. The team, working in conjunction with national project teams and national coordinators, will be responsible for delivering the technical outputs from individual objectives.
8. The ***Project Management Unit*** (PMU) will comprise a project officer from WWF. The PMU will be responsible to recruit and supervise national and international experts and subcontractors as necessary to deliver project outputs. The PMU will also be responsible to plan, organise and execute the project activities set out below, and prepare and present project plans, regular progress and financial reports to responsible officers
9. Each national focal point will submit a progress report of national activities and a financial report to the PMU every four months before each Project Steering Committee meeting.
10. The release of funds (by UNEP) will be done on the approval of national reports by the WWF Project Officer. The executing agencies will be responsible for the proper supervision and management of funds provided to them by UNEP. They will account for income and expenditure to and provide semi-annual consolidated statements and annual audit reports to UNEP. Expenditure and procurement will be undertaken in conformity with international rules and standards/UN rules and standards/ the statutory rules of these organizations. During the course of the project the Project Management Unit will be responsible for the preparation of regular progress and financial reports, and for the preparation of forward plans and budgetary estimation. The timely preparation

and submission of mandatory reports forms an integral part of the monitoring process. Reporting requirements are detailed in Appendix 8.

11. **Technical outputs and milestones** identified for the project are given in Appendix 6. It is likely that the bulk of these will be prepared by national and international experts or expert groups contracted by the project management team. The project has been designed to allow for the review and approval of draft outputs by key stakeholders to ensure ownership of products. This is particularly important as most project outputs designed and intended to be sustainable beyond the life of the project. The project management team and the executing agencies have a first-line supervisory role with regard to project consultants and thus to the review and monitoring of their outputs. The PSC will also review and make recommendations regarding the technical outputs of the project at key milestones defined in the implementation plan.
12. The WWF will submit to UNEP three copies in draft of any substantive project report(s) and, at the same time, inform UNEP of any plans it may have for the publication of that text. UNEP will give the Executing Agency substantive clearance of the manuscript, indicating any suggestions for change and such wording (recognition, disclaimer, etc.) as it would wish to see figure in the preliminary pages or in the introductory texts. It will equally consider the publishing proposal of the Executing Agency and will make comments thereon as advisable.
13. UNEP may request the Executing Agency to consider the publication on a joint imprint basis. Should the Executing Agency be solely responsible for publishing arrangements, UNEP will nevertheless receive an agreed number of free copies of the published work in each of the agreed languages, for its own purposes.
14. **A Mid-term evaluation** will be carried out to assess the progress and effectiveness of the project in its first period of operation. The evaluation, to be carried out by a representative of the BCRCC Nigeria to GEF M&E procedures and standards, will be based on project progress reports, on PIRs submitted, and on field visits to the operational sites of the project. The evaluation will assess the work of the project to date and the likelihood of it achieving anticipated goals and objectives. It will recommend remedial action, revised work plans or management arrangements to improve its effectiveness and likely impact.
15. The **Terminal Report** is prepared by the project management team in English within the 60 days following the end of project implementation. It is submitted to UNEP-DGEF, to the Chief, Budget and Financial Management Service, and to the Chief, Programme Coordination and Management UNIT via the PSC, using the format given in Appendix 9. It provides a review of the effective operation of the project and of its achievements in reaching its designed outputs. The report will set out lessons learned during the project and assesses the likelihood of the project achieving its design outcomes. It provides a basis for the independent **Terminal Evaluation** of the project. This evaluation reviews the impact and effectiveness of the project, the sustainability of results and whether the project has achieved its immediate, development and global objectives.
16. The BCRCC will attend five PSC meetings to assess the progress of this project towards its milestones, to review its technical outputs and to make recommendations concerning project execution in the coming period.

Table 13: Project outputs available to Progress Review/PSC Meetings

Activity	Milestone/Output	Date
1 st Meeting		1-3 rd month

<i>Project Inception Report and detailed implementation plan for phase 1</i>		2 nd month
2nd Meeting		c.7th month
1.1	Progress report from legal consultant	
1.2	Progress report from Pesticide Act consultant	
3rd Meeting – review of phase 1 and planning of phase 2		12th month
1.1	Review of draft comprehensive regulatory framework	
1.2	Review of sector regulations	
2.1	Progress of TOR for training expert	
2.3	Progress of TOR for judiciary training expert	
3.1	Progress of CIEN adapted to include programme knowledge management system	
4th Meeting - Review and planning of phase 2		18th Month
1.1	Review of national plans for comprehensive regulatory framework development	
2.2	Review of guidance on economic instruments	
2.4	Review of laboratory expert TOR	
3.1	Review of National ESTIS progress	
3.2	Review of Communication strategy TOR	
5th Meeting – Review of all reports		54th Month
Completion reports of all activities		

17. Formal monitoring and evaluation of the project will follow the GEF Monitoring and Evaluation Policies and Procedures. UNEP-DGEF will be responsible for drafting the annual Project Implementation Reviews and will use the detailed progress reports provided to UNEP for this purpose. The project team and its partners will use the results of these reviews to inform project implementation planning in subsequent periods.
18. UNEP will make arrangements for independent mid-term and terminal evaluations of the project through the BCRCC according to Monitoring and Evaluation procedures established by the GEF. These monitoring, reporting and evaluation responsibilities are given in Appendix 8.
19. Costs for the monitoring and evaluation of the project are set out in Table 15 below.
20. In Table 15, a number of regular mandatory reporting items are shown with no costs. This is because the continuous monitoring of project performance, and the preparation of periodic reporting, by the project management team form part of the normal operational duties of the team. For this reason, the costs of these monitoring activities are included in the costs of establishing and maintaining this team throughout the life of the project and shown against Activity 1.1 of the project budget.
21. Similarly, the costs of monitoring and review by the UNEP-GEF project manager are provided by the implementation fee. It follows that these costs do not form part of the project budget.

Table 15: Monitoring and Evaluation Budget

M&E activity	Purpose	Responsible	Budget	Time-frame
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		Party	(US\$)* ¹	
Inception workshop	Awareness raising, building stakeholder engagement, detailed work planning with key groups	Project team, BCRCC	15,000	Within two months of project start
Inception report	Provides implementation plan for progress monitoring	Project coordinator,	0	Immediately following IW
Annual Project Review by Steering Committee	Assesses progress, effectiveness of operations and technical outputs; Recommends adaptation where necessary and confirms forward implementation plan.	Project team, BCRCC	69,000	Annually
Project Implementation Review	Progress and effectiveness review for the GEF, provision of lessons learned	Project team, BCRCC, UNEP-DGEF	0	Annually
Terminal report	Reviews effectiveness against implementation plan Highlights technical outputs Identifies lessons learned and likely design approaches for future projects, assesses likelihood of achieving design outcomes	Project team, UNEP-DGEF	0	At the end of project implementation
Independent Mid-term & Terminal evaluation	Reviews effectiveness, efficiency and timeliness of project implementation, coordination mechanisms and outputs Identifies lessons learned and likely remedial actions for future projects Highlights technical achievements and assesses against prevailing benchmarks	Project team BCRCC, UNEP-DGEF Independent external consultant	30,000	At the mid-term and end of project implementation
Independent Financial Audit	Reviews use of project funds against budget and assesses probity of expenditure and transactions		6,000	At the end of project implementation
Total indicative M&E cost*¹			120,000	

*1: Excluding project team and UNEP DGEF staff time

Appendix 8: Summary of reporting requirements and responsibilities

The table below summarizes the roles and responsibilities of the Programme Coordination Body, WWF, NFPs, BCRCC (Nigeria),

Project Components	Expected Outcomes	Expected Outputs	ACTIVITIES	WWF	POPs NFPs/Steering Committee	Role of Programme Coordination Body (PCB)
1. Legislative and regulatory framework development	Outcome 1.1: Comprehensive chemicals regulatory system available for use and adaptation to specific regulatory requirements.	Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.	<ul style="list-style-type: none"> - Development of ToR for Legal Consultant - Legal Consultant recruited - Draft comprehensive chemicals regulatory framework development - Presentation of draft to Steering Committee and consultation - Comprehensive regulatory framework finalized - National level prioritized plans for comprehensive framework development - Framework and plans uploaded on knowledge management system 	<ul style="list-style-type: none"> - Convene steering committee meetings. - Coordinate the development of national-level prioritized plans - Collate national level prioritized plans and upload onto knowledge management system. 	<ul style="list-style-type: none"> - Agree ToR - Review draft comprehensive chemicals framework and provide comments. 	PCB will draft ToR and recruit the consultant, as this role covers activities under the three project subregions.
	Outcome 1.2: Model sector-specific regulations developed for incinerator operation, contaminated sites and biopesticides	Model sector-specific regulations developed and available for use by participating countries.	<ul style="list-style-type: none"> - Pilot country identified for the trialing of each regulation - Development of ToR for Legal Consultant - Legal Consultant recruited - Draft sectoral regulations developed - Presentation of, and consultation on the draft to the Steering Committee - Model regulations finalized. - Legal consultant works with NFPs in three pilot countries to test each of the regulations - Case study and model regulations included on the knowledge management database. 	<ul style="list-style-type: none"> - Draft ToR for Legal Consultant - Recruit Legal Consultant - Identification of pilot countries 	<ul style="list-style-type: none"> - Agree ToR - Agree pilot countries 	N/A
2. Sustainable enforcement of administrative capacity established.	Outcome 2.1: Trained cadre of national level environment staff and provincial level stakeholders on the Stockholm Convention and hazardous wastes.	<p>Train-the-trainer for national level environment staff, results in certified trainers.</p> <p>Trained cadre of provincial level staff and key private sector stakeholders on the Stockholm Convention.</p>	<ul style="list-style-type: none"> - Development of ToR for Training Expert - Recruitment of Training Expert - Development of training guidance - Trainers and trainees identified - Training schedule agreed - National level train the trainer (with Provincial level trainees and key private sector stakeholders) convened - Training guidance and case studies on knowledge management system 	<ul style="list-style-type: none"> - Draft ToR for Training Expert - Recruit Training Expert 	<ul style="list-style-type: none"> - Agree ToR 	This activity is replicated in the COMESA and ECOWAS subregions. PCB will be expected to coordinate between the subregional Steering Committee to ensure duplication of work is prevented.
	Outcome 2.2: Trained cadre of environment and legal drafting staff in the use of economic instruments for chemicals and wastes.	Development of guidelines, on economic instruments, with a specific focus on simple cost recovery measures to promote sustainable legislation development, and trained environment and legal drafting staff.	<ul style="list-style-type: none"> - Development of ToR for Economic Instrument expert. - Recruitment of Economic Instrument expert - Development of draft guidance on economic instruments with a focus on cost recovery measures - Identification of suitable trainees - Training schedule agreed - Subregional training convened - Training guidance and case studies on knowledge management system 	<ul style="list-style-type: none"> - Draft ToR for Economic Instrument Expert - Recruit Training Expert 	<ul style="list-style-type: none"> - Agree ToR 	N/A

3. Coordinated information dissemination and awareness raising system.	Outcome 2.3: Judiciary members, Ministry of Finance staff, trained on and aware of the provisions of the Stockholm and other chemicals conventions.	Development of tool kit, and training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions.	<ul style="list-style-type: none"> - Development of ToR for judiciary Training Expert - Recruitment of judiciary Training Expert - Identification of suitable trainees Regional training for judiciary members Judiciary training toolkit on knowledge management system 	Update Steering Committee on activity progress	Undertake national consultations on the training	This is a regional activity and will therefore be coordinated by the PCB.
	Outcome 2.4: Network and database of subregional laboratories available for use.	Network and database of subregional laboratories, including information on equipment, staff capability, and analytical capability, developed.	<ul style="list-style-type: none"> - Development of ToR for laboratory expert - Recruitment of laboratory expert to verify laboratories - Survey and consultation with countries on available equipment, personnel and analytical capability - Presentation of results to Steering Committee - Finalization of database - Database uploaded to knowledge management system 	<ul style="list-style-type: none"> - Draft ToR for Training Expert - Recruit Laboratory Expert 	<ul style="list-style-type: none"> - Agree ToR - Provide details on laboratories in country and relevant points of contact. - Support the work of the Laboratory Expert 	N/A
	1. Chemical Information Exchange Network (CIEN) revitalized and available for use as knowledge management system for sharing subregional and regional information.	Revitalize the Chemical Information Exchange Network (CIEN) as a knowledge management system.	<ul style="list-style-type: none"> - Development of ToR for web-platform developer - Recruitment of web developer CIEN redesigned as a knowledge management system - Programme coordination body and Steering Committees consulted - CIEN re-launched and functioning - CIEN functioning as a knowledge management system for the Programme 	Update Steering Committee on activity progress	Review of mock-up web-platform design.	This is a regional programmatic activity and will therefore be coordinated by the PCB.
	2. NFPs trained in the development of POPs communication strategies	NFPs trained in the development of POPs communication strategies and draft strategies in place.	<ul style="list-style-type: none"> - Development of a ToR for POPs communication strategy trainer. - Identification and recruitment of an experienced NGO to undertake training. - MOU signed with NGO. - Training materials developed - Training materials approved by Steering Committee - Training schedule agreed - National level training undertaken - Draft POPs communication strategies updated. 	<ul style="list-style-type: none"> - Draft ToR - Agree on experienced NGO 	<ul style="list-style-type: none"> - Identification of relevant trainees. 	N/A

<p>3. Vulnerable communities made aware of POPs risks and community resources on POPs available.</p>	<p>Development of POPs education materials (including on 9 new POPs).</p> <p>Pilot community training, working with local NGOs and focusing on vulnerable communities</p>	<ul style="list-style-type: none"> - Identification of potential NGO partners - Memorandum of Understanding signed with experienced regional NGO - Local civil society groups and vulnerable communities identified - Educational materials and train the trainer programme developed - Education materials presented by NGP and reviewed by Steering Committee - Community train the trainer, targeting POPs-vulnerable groups as trainees 	<ul style="list-style-type: none"> - Identify potential NGOs - Draft MoU - Manage and coordinate NGO activity 	<ul style="list-style-type: none"> - Identify local civil society groups - Identify potentially vulnerable communities 	<p>N/A</p>
<p>4. High-level subregional representatives support Stockholm Convention.</p>	<p>Bring high-level representatives to SADC forum, to increase high level awareness on the Stockholm Convention.</p>	<ul style="list-style-type: none"> - Consultation with Regional Economic Commissions (RECs) - Agreement of appropriate date for Ministerial support - Sensitization with government ministers Ministerial support 	<p>Update Steering Committee on activity progress</p>	<p>Undertake national consultation and sensitization.</p>	<p>This is a regional programmatic activity and will therefore be coordinated by the PCB.</p>

The reporting requirements for the project are summarized in the table below.

Table: Progress, Monitoring and Evaluation Reports

Report and Content	Format	Timing	Responsibility
Inception report			
Detailed implementation plan for progress monitoring	Agreed format allowing progress tracking	Following inception workshops	WWF project management team
Progress reports			
Documents progress & completion of activities; Describes progress against annual work plan; Reviews implementation plans, summarizes problems and adaptive management; Provides activity plans for following period; Provides project outputs for review	UNEP Progress Reporting Formats;	6-monthly, within 30 days of each reporting period	WWF project management team
Financial Reports			
Documents project expenditure according to established project budget and allocations; Provides budgetary plans for following reporting period; Requests further cash transfers; Requests budget revision as necessary; Provides inventory of non-expendable equipment procured for project	UNEP Financial reporting formats; Inventory of non-expendable equipment	6-monthly, within 30 days of each reporting period	WWF project management team
Annual Progress Reports			
Provides consolidated review of progress and outputs of project actions; Describes progress against annual work plan; Highlights project achievements, difficulties and measures taken to adapt; Provides progress plans and budgetary requirements for the following reporting period; Provides general source of information for general project reporting	UNEP Progress Report model	Annual, within 45 days of each reporting period	WWF project management team
Financial Audit			
Audit of project accounts and records	Approved audit report format	Annual and at project completion	Independent auditor
Co-financing report			
Reports co-financing provided to the project; Reviews co-financing inputs against GEF approved financing plan	UNEP reporting format	Annual	WWF project management team
Project Implementation Review (PIR) reports			
Summary implementation review	UNEP format	Annual	UNEP Project Manager
Mid-term Evaluation			
Provides detailed independent evaluation of project management, actions, outputs and impacts at its mid-point and provides recommendations for remedial action or revised work plans as appropriate	GEF M&E format	At project mid-term	Independent Evaluator/ BCRCC
Terminal report			
Review of effectiveness of the project, its technical outputs, lessons learned and progress towards outcomes	UNEP reporting format	At project completion	WWF project management team UNEP-DGEF
Terminal Evaluation			
Provides detailed independent evaluation of project management, actions, outputs and impacts	GEF M&E format	At project completion	Independent Evaluator/BCRCC

APPENDIX 9 - STANDARD TERMINAL EVALUATION TERMS OF REFERENCE

Terminal Evaluation of the UNEP GEF project “Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Sub region”

1. PROJECT BACKGROUND AND OVERVIEW

Project rationale

The project will strengthen and build the capacity required in LDCs and SIDS in the SADC subregion to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals.

The project will execute activities to build capacity in the development of legislative and regulatory frameworks, improving enforcement and administrative capacity, and enhancing information exchange and dissemination in the subregion. Through these activities the project will: develop work plans for comprehensive regulatory framework development; assist in the drafting of chemicals regulation; develop guidelines for the institution of sectoral regulations; provide training to provincial level environment staff on the provisions of the Stockholm Convention; provide training to quarantine and customs staff on inspection on inspection/monitoring of illegal traffic; and provide training to the judiciary on the Stockholm and related chemical conventions. The information sharing and dissemination component will include the development and disseminate community education and training materials on POPs. It will result in coordinated dissemination and awareness raising system on a national and regional level that is linked to global scale lessons learned dissemination channels. This component also covers a number of cross-cutting programme activities designed to capitalize on knowledge gained and lessons learned during programme implementation, and provide a knowledge management platform for the sharing and dissemination of information on POPs in the subregion, between subregions and internationally.

The evidence from on-going dialogue with countries in the region is that countries are facing difficulties and barriers in shifting from NIP development to preparing and financing projects and programs in support Stockholm Convention implementation. The Post-NIP program is a GEF/UNIDO/UNEP initiative that aims to enhance and sustain the implementation of the Stockholm Convention in the SADC LDCs SIDS. The subregional consultations undertaken during the project design process pointed to the need for a concerted effort to increase capacity to manage POPs and chemicals soundly at all levels of government - national and provincial, and in the wider community. Country representatives also highlighted their wish to work together on a subregional basis in order to learn from each other, work together and share experiences. As such project activities have been designed to encompass the subregional political sphere, national government, provincial government and community levels.

The Goal of the project is to improve the management of chemicals in LDCs and SIDS in the SADC subregion, through assistance in the development of legislative and regulatory frameworks, training in improved enforcement and administrative capacity and the provision of a platform and materials for information exchange and dissemination.

The Objective of the project is to strengthen and build the capacity required in LDCs and SIDS in the SADC subregion to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals.

The specific objectives are to:

- (i) Improve legal and regulatory frameworks;
- (ii) Improve sustainable enforcement and administrative capacity; and
- (iii) Institution a coordinated dissemination and awareness raising system on a national and regional level is in place and linked to global scale lessons learned dissemination channels.

The indicators given in the project document for this stated objective were:

- Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.
- Train-the-trainer for national level environment staff and provincial level environmental level inspectors on the Stockholm Convention conducted.
- Guidelines developed and training (train the trainer) for Environment, Customs and Quarantine staff, on inspection/monitoring and illegal traffic undertaken.
- Tool kit developed and guidelines on the introduction of economic instruments and cost recovery measures.
- Network and database of subregional laboratories, including information on equipment, staff capability, and analytical capability, developed.
- Revitalized the Chemical Information Exchange Network (CIEN) as a knowledge management system
- Development of POPs education materials (including on 9 new POPs), and pilot community training, working with local NGOs and focusing on vulnerable communities.
- High-level representatives brought together in SADC forum, to increase high level awareness on the Stockholm Convention.

Relevance to GEF Programmes

The project is in line with: GEF Operational Programme 14 on POPs. Actions taken in the project are consistent with Strategic Programmes 1, 2 and 3 of the POPs focal area.

Executing Arrangements

The implementing agency for this project is UNEP (DGEF and ROA); and the executing agencies is WWF.

The lead national agencies in the focal countries were: Ministry of Environment

Project Activities

The project comprised activities grouped in 4 components.

Budget

At project inception the following budget prepared:

	<u>GEF</u>	<u>Co-funding</u>
Project preparation funds (\$):	60,000	
GEF Full Size Grant	1,500,000	1,918,517

TOTAL (including project preparation funds) \$: 3,478,517

Co-funding sources:

Cash:

African Union Commission ACP-MEAs	18,333
UNEP Regional Office for Africa	300,000
SAICM Secretariat	666,667
WWF	12,500
Stockholm Secretariat	166,667
UNEP Kemi	254,350
National co-finance	250,000

Sub-total 1,668,517

In-kind

National co-finance 250,000

Total 1,918,517

APPENDIX 9
TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

The objective of this terminal evaluation is to examine the extent and magnitude of any project impacts to date and determine the likelihood of future impacts. The evaluation will also assess project performance and the implementation of planned project activities and planned outputs against actual results. The evaluation will focus on the following main questions:

1. Did the project lead to improved legislative and regulatory frameworks, and sustainable enforcement and administrative capacity in participating countries?
2. Did the outputs of the project articulate options and recommendations for wider application or improvement? Were these options and recommendations used? If so by whom?
3. To what extent did the project outputs produced have the weight of scientific authority and credibility necessary to influence policy makers and other key audiences?

Methods

This terminal evaluation will be conducted as an in-depth evaluation using a participatory approach whereby the UNEP/DGEF Task Manager, key representatives of the executing agencies and other relevant staff are kept informed and consulted throughout the evaluation. The consultant will liaise with the UNEP/EOU and the UNEP/DGEF Task Manager on any logistic and/or methodological issues to properly conduct the review in as independent a way as possible, given the circumstances and resources offered. The draft report will be circulated to UNEP/DGEF Task Manager, key representatives of the executing agencies and the UNEP/EOU. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary or suggested revisions.

The findings of the evaluation will be based on the following:

1. A desk review of project documents including, but not limited to:
 - (a) The project documents, outputs, monitoring reports (such as progress and financial reports to UNEP and GEF annual Project Implementation Review reports) and relevant correspondence.
 - (b) Notes from the PSC meetings.
 - (c) Other project-related material produced by the project staff or partners.
 - (d) Relevant material published on the project web-site: {CIEN}.
2. Interviews with project management and technical support including WWF, NFP coordinators of participating countries and hired international consultants of the project including the independent authority hired for monitoring.
3. Interviews and Telephone interviews with intended users for the project outputs and other stakeholders involved with this project, including in the participating countries and international bodies. The Consultant shall determine whether to seek additional information and opinions from representatives of donor agencies and other organizations. As appropriate, these interviews could be combined with an email questionnaire.

4. Interviews with the UNEP/DGEF project task manager and Fund Management Officer, and other relevant staff in UNEP dealing with Strategic Programmes 1, 2 and 3 of the POPs focal area - related activities as necessary. The Consultant shall also gain broader perspectives from discussions with relevant GEF Secretariat staff.
5. Field visits¹ to project staff

Key Evaluation principles.

In attempting to evaluate any outcomes and impacts that the project may have achieved, evaluators should remember that the project's performance should be assessed by considering the difference between the answers to two simple questions "*what happened?*" and "*what would have happened anyway?*". These questions imply that there should be consideration of the baseline conditions and trends in relation to the intended project outcomes and impacts. In addition it implies that there should be plausible evidence to **attribute** such outcomes and impacts **to the actions of the project**.

Sometimes, adequate information on baseline conditions and trends is lacking. In such cases this should be clearly highlighted by the evaluator, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

2. Project Ratings

The success of project implementation will be rated on a scale from 'highly unsatisfactory' to 'highly satisfactory'. In particular the evaluation shall **assess and rate** the project with respect to the eleven categories defined below:²

A. Attainment of objectives and planned results:

The evaluation should assess the extent to which the project's major relevant objectives were effectively and efficiently achieved or are expected to be achieved and their relevance.

- *Effectiveness*: Evaluate how, and to what extent, the stated project objectives have been met, taking into account the "achievement indicators". The analysis of outcomes achieved should include, *inter alia*, an assessment of the extent to which the project has directly or indirectly assisted policy and decision-makers to apply information supplied by biodiversity indicators in their national planning and decision-making. In particular:
 - Evaluate the immediate impact of the project on POPs monitoring and in national planning and decision-making and international understanding and use of biodiversity indicators.
 - As far as possible, also assess the potential longer-term impacts considering that the evaluation is taking place upon completion of the project and that longer term impact is expected to be seen in a few years time. Frame recommendations to enhance future project impact in this context. Which will be the major 'channels' for longer term impact from the project at the national and international scales?
- *Relevance*: In retrospect, were the project's outcomes consistent with the focal areas/operational program strategies? Ascertain the nature and

¹ Evaluators should make a brief courtesy call to GEF Country Focal points during field visits if at all possible.

² However, the views and comments expressed by the evaluator need not be restricted to these items.

significance of the contribution of the project outcomes to the Stockholm Convention and the wider portfolio of the GEF.

- *Efficiency*: Was the project cost effective? Was the project the least cost option? Was the project implementation delayed and if it was, then did that affect cost-effectiveness? Assess the contribution of cash and in-kind co-financing to project implementation and to what extent the project leveraged additional resources. Did the project build on earlier initiatives, did it make effective use of available scientific and / or technical information. Wherever possible, the evaluator should also compare the cost-time vs. outcomes relationship of the project with that of other similar projects.

B. Sustainability:

Sustainability is understood as the probability of continued long-term project-derived outcomes and impacts after the GEF project funding ends. The evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, e.g. stronger institutional capacities or better informed decision-making. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes. The evaluation should ascertain to what extent follow-up work has been initiated and how project outcomes will be sustained and enhanced over time.

Five aspects of sustainability should be addressed: financial, socio-political, institutional frameworks and governance, environmental (if applicable). The following questions provide guidance on the assessment of these aspects:

- *Financial resources*. Are there any financial risks that may jeopardize sustenance of project outcomes? What is the likelihood that financial and economic resources will not be available once the GEF assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and trends that may indicate that it is likely that in future there will be adequate financial resources for sustaining project's outcomes)? To what extent are the outcomes of the project dependent on continued financial support?
- *Socio-political*: Are there any social or political risks that may jeopardize sustenance of project outcomes? What is the risk that the level of stakeholder ownership will be insufficient to allow for the project outcomes to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public / stakeholder awareness in support of the long term objectives of the project?
- *Institutional framework and governance*. To what extent is the sustenance of the outcomes of the project dependent on issues relating to institutional frameworks and governance? What is the likelihood that institutional and technical achievements, legal frameworks, policies and governance structures and processes will allow for, the project outcomes/benefits to be sustained? While responding to these questions consider if the required systems for accountability and transparency and the required technical know-how are in place.
- *Environmental*. Are there any environmental risks that can undermine the future flow of project environmental benefits? The TE should assess whether certain activities in the project area will pose a threat to the sustainability of the project outcomes. For example; construction of dam in a protected area could inundate a

sizable area and thereby neutralize the biodiversity-related gains made by the project; or, a newly established pulp mill might jeopardise the viability of nearby protected forest areas by increasing logging pressures; or a vector control intervention may be made less effective by changes in climate and consequent alterations to the incidence and distribution of malarial mosquitoes.

C. Achievement of outputs and activities:

- Delivered outputs: Assessment of the project's success in producing each of the programmed outputs, both in quantity and quality as well as usefulness and timeliness.
- Assess the soundness and effectiveness of the methodologies used for developing the technical documents and related management options in the participating countries
- Assess to what extent the project outputs produced have the weight of scientific authority / credibility, necessary to influence policy and decision-makers, particularly at the national level.

D. Catalytic Role

Replication and catalysis. What examples are there of replication and catalytic outcomes? Replication approach, in the context of GEF projects, is defined as lessons and experiences coming out of the project that are replicated or scaled up in the design and implementation of other projects. Replication can have two aspects, replication proper (lessons and experiences are replicated in different geographic area) or scaling up (lessons and experiences are replicated within the same geographic area but funded by other sources). Specifically:

- Do the recommendations for management of the FSP coming from the region studies have the potential for application in other regions and locations?

If no effects are identified, the evaluation will describe the catalytic or replication actions that the project carried out.

E. Assessment monitoring and evaluation systems.

The evaluation shall include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The Terminal Evaluation will assess whether the project met the minimum requirements for 'project design of M&E' and 'the application of the Project M&E plan' (see minimum requirements 1&2 in *Annex 4* to this Appendix). GEF projects must budget adequately for execution of the M&E plan, and provide adequate resources during implementation of the M&E plan. Project managers are also expected to use the information generated by the M&E system during project implementation to adapt and improve the project.

M&E during project implementation

- *M&E design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators (see Annex 4) and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified.
- *M&E plan implementation.* A Terminal Evaluation should verify that: an M&E system was in place and facilitated timely tracking of results and progress

towards projects objectives throughout the project implementation period (perhaps through use of a logframe or similar); annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings; that the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs; and that projects had an M&E system in place with proper training for parties responsible for M&E activities.

- *Budgeting and Funding for M&E activities.* The terminal evaluation should determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

F. Preparation and Readiness

Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing institution and counterparts properly considered when the project was designed? Were lessons from other relevant projects properly incorporated in the project design? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities), enabling legislation, and adequate project management arrangements in place?

G. Country ownership / drivenness:

This is the relevance of the project to national development and environmental agendas, recipient country commitment, and regional and international agreements. The evaluation will:

- Assess the level of country ownership. Specifically, the evaluator should assess whether the project was effective in providing and communicating biodiversity information that catalyzed action in participating countries to improve decisions relating to the conservation and management of the focal ecosystem in each country.
- Assess the level of country commitment to the generation and use of biodiversity indicators for decision-making during and after the project, including in regional and international fora.

H. Stakeholder participation / public awareness:

This consists of three related and often overlapping processes: information dissemination, consultation, and "stakeholder" participation. Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the GEF-financed project. The term also applies to those potentially adversely affected by a project. The evaluation will specifically:

- Assess the mechanisms put in place by the project for identification and engagement of stakeholders in each participating country and establish, in consultation with the stakeholders, whether this mechanism was successful, and identify its strengths and weaknesses.
- Assess the degree and effectiveness of collaboration/interactions between the various project partners and institutions during the course of implementation of the project.
- Assess the degree and effectiveness of any various public awareness activities that were undertaken during the course of implementation of the project.

I. Financial Planning

Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime.

Evaluation includes actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co- financing. The evaluation should:

- Assess the strength and utility of financial controls, including reporting, and planning to allow the project management to make informed decisions regarding the budget and allow for a proper and timely flow of funds for the payment of satisfactory project deliverables.
- Present the major findings from the financial audit if one has been conducted.
- Identify and verify the sources of co- financing as well as leveraged and associated financing (in co-operation with the IA and EA).
- Assess whether the project has applied appropriate standards of due diligence in the management of funds and financial audits.
- The evaluation should also include a breakdown of final actual costs and co-financing for the project prepared in consultation with the relevant UNEP/DGEF Fund Management Officer of the project (table attached in *Annex 1* to this Appendix Co-financing and leveraged resources).

J. Implementation approach:

This includes an analysis of the project's management framework, adaptation to changing conditions (adaptive management), partnerships in implementation arrangements, changes in project design, and overall project management. The evaluation will:

- Ascertain to what extent the project implementation mechanisms outlined in the project document have been closely followed. In particular, assess the role of the various committees established and whether the project document was clear and realistic to enable effective and efficient implementation, whether the project was executed according to the plan and how well the management was able to adapt to changes during the life of the project to enable the implementation of the project.
- Evaluate the effectiveness and efficiency and adaptability of project management and the supervision of project activities / project execution arrangements at all levels (1) policy decisions: Steering Group; (2) day to day project management in each of the country executing agencies and BCRC.

K. UNEP Supervision and Backstopping

- Assess the effectiveness of supervision and administrative and financial support provided by UNEP/DGEF.
- Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project.

The *ratings will be presented in the form of a table*. Each of the eleven categories should be rated separately with **brief justifications** based on the findings of the main analysis. An overall rating for the project should also be given. The following rating system is to be applied:

HS	= Highly Satisfactory
S	= Satisfactory
MS	= Moderately Satisfactory
MU	= Moderately Unsatisfactory
U	= Unsatisfactory
HU	= Highly Unsatisfactory

3. Evaluation report format and review procedures

The report should be brief, to the point and easy to understand. It must explain; the purpose of the evaluation, exactly what was evaluated and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should be presented in a way that makes the information accessible and comprehensible and include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

The evaluation will rate the overall implementation success of the project and provide individual ratings of the eleven implementation aspects as described in Section 1 of this TOR. The ratings will be presented in the format of a table with brief justifications based on the findings of the main analysis.

Evidence, findings, conclusions and recommendations should be presented in a complete and balanced manner. Any dissident views in response to evaluation findings will be appended in an annex. The evaluation report shall be written in English, be of no more than 50 pages (excluding annexes), use numbered paragraphs and include:

- i) An **executive summary** (no more than 3 pages) providing a brief overview of the main conclusions and recommendations of the evaluation;
- ii) **Introduction and background** giving a brief overview of the evaluated project, for example, the objective and status of activities; The GEF Monitoring and Evaluation Policy, 2006, requires that a TE report will provide summary information on when the evaluation took place; places visited; who was involved; the key questions; and, the methodology.
- iii) **Scope, objective and methods** presenting the evaluation's purpose, the evaluation criteria used and questions to be addressed;
- iv) **Project Performance and Impact** providing *factual evidence* relevant to the questions asked by the evaluator and interpretations of such evidence. This is the main substantive section of the report. The evaluator should provide a commentary and analysis on all eleven evaluation aspects (A – K above).
- v) **Conclusions and rating** of project implementation success giving the evaluator's concluding assessments and ratings of the project against given evaluation criteria and standards of performance. The conclusions should provide answers to questions about whether the project is considered good or bad, and whether the results are considered positive or negative. The ratings should be provided with a brief narrative comment in a table (see *Annex 1* to this Appendix);
- vi) **Lessons (to be) learned** presenting general conclusions from the standpoint of the design and implementation of the project, based on good practices and successes or problems and mistakes. Lessons should have the potential for wider application and use. All lessons should 'stand alone' and should:
 - Briefly describe the context from which they are derived
 - State or imply some prescriptive action;
 - Specify the contexts in which they may be applied (if possible, who when and where)

- vii) **Recommendations** suggesting *actionable* proposals for improvement of the current project. In general, Terminal Evaluations are likely to have very few (perhaps two or three) actionable recommendations.

Prior to each recommendation, the issue(s) or problem(s) to be addressed by the recommendation should be clearly stated.

A high quality recommendation is an actionable proposal that is:

1. Feasible to implement within the timeframe and resources available
2. Commensurate with the available capacities of project team and partners
3. Specific in terms of who would do what and when
4. Contains results-based language (i.e. a measurable performance target)
5. Includes a trade-off analysis, when its implementation may require utilizing significant resources that would otherwise be used for other project purposes.

- viii) **Annexes** may include additional material deemed relevant by the evaluator but must include:

TE reports will also include any response / comments from the project management team and/or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP EOU.

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou

Review of the Draft Evaluation Report

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff are allowed to comment on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks feedback on the proposed recommendations. UNEP EOU collates all review comments and provides them to the evaluators for their consideration in preparing the final version of the report.

4. Submission of Final Terminal Evaluation Reports.

The final report shall be submitted in electronic form in MS Word format and should be sent to the following persons:

Segbedzi Norgbey, Chief,
UNEP Evaluation and Oversight Unit
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: +(254-20)762-4181
Fax: +(254-20)762-3158
Email: Segbedzi.Norgbey@unep.org

With a copy to:

Maryam Niamir-Fuller,
Director
UNEP/Division of GEF Coordination

P.O. Box 30552-00100
Nairobi, Kenya
Tel: +(254-20)762-4166
Fax: +(254-20)762-4041/2
Email: Maryam.Niamir-Fuller@unep.org

{Name}

Task Manager

{Contact details}

The Final evaluation will also be copied to the following GEF National Focal Points.

{Insert contact details here}

The final evaluation report will be published on the Evaluation and Oversight Unit's web-site www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

5. Resources and schedule of the evaluation

This final evaluation will be undertaken by an international evaluator contracted by the Evaluation and Oversight Unit, UNEP. The contract for the evaluator will begin on ddmmyyy and end on ddmmyyy (40 days) spread over 12 weeks (15 days of travel, to 7 countries, and 25 days desk study). The evaluator will submit a draft report on ddmmyyy to UNEP/EOU, the UNEP/DGEF Task Manager, and key representatives of the executing agencies. Any comments or responses to the draft report will be sent to UNEP / EOU for collation and the consultant will be advised of any necessary revisions. Comments to the final draft report will be sent to the consultant by ddmmyyy after which, the consultant will submit the final report no later than ddmmyyy.

The evaluator will after an initial telephone briefing with EOU and UNEP/GEF conduct initial desk review work and later travel to Dakar, Senegal and meet with project staff at the beginning of the evaluation. Furthermore, the evaluator is expected to travel to 6 other countries and meet with representatives of the project executing agencies and the intended users of project's outputs.

In accordance with UNEP/GEF policy, all GEF projects are evaluated by independent evaluators contracted as consultants by the EOU. The evaluator should have the following qualifications:

The evaluator should not have been associated with the design and implementation of the project in a paid capacity. The evaluator will work under the overall supervision of the Chief, Evaluation and Oversight Unit, UNEP. The evaluator should be an international expert in environmental sound management of hazardous wastes with a sound understanding of POPs issues. The consultant should have the following minimum qualifications: (i) experience in POPs issues; (ii) experience with management and implementation of regional projects and in particular with outputs targeted at policy-influence and decision-making; (iii) experience with project evaluation. Knowledge of UNEP programmes and GEF activities is desirable. Knowledge of French is an advantage. Fluency in oral and written English is a must.

6. Schedule Of Payment

The consultant shall select one of the following two contract options:

Lump-Sum Option

The evaluator will receive an initial payment of 30% of the total amount due upon signature of the contract. A further 30% will be paid upon submission of the draft report. A final payment of 40% will be made upon satisfactory completion of work. The fee is payable under the individual Special Service Agreement (SSA) of the evaluator and **is inclusive** of all expenses such as travel, accommodation and incidental expenses.

Fee-only Option

The evaluator will receive an initial payment of 40% of the total amount due upon signature of the contract. Final payment of 60% will be made upon satisfactory completion of work. The fee is payable under the individual SSAs of the evaluator and is **NOT** inclusive of all expenses such as travel, accommodation and incidental expenses. Ticket and DSA will be paid separately.

In case, the evaluator cannot provide the products in accordance with the TORs, the timeframe agreed, or his products are substandard, the payment to the evaluator could be withheld, until such a time the products are modified to meet UNEP's standard. In case the evaluator fails to submit a satisfactory final product to UNEP, the product prepared by the evaluator may not constitute the evaluation report.

Annex 1 to Appendix 9: OVERALL RATINGS TABLE

Criterion	Evaluator's Summary Comments	Evaluator's Rating
A. Attainment of project objectives and results (overall rating) Sub criteria (below)		
A. 1. Effectiveness		
A. 2. Relevance		
A. 3. Efficiency		
B. Sustainability of Project outcomes (overall rating) Sub criteria (below)		
B. 1. Financial		
B. 2. Socio Political		
B. 3. Institutional framework and governance		
B. 4. Ecological		
C. Achievement of outputs and activities		
D. Monitoring and Evaluation (overall rating) Sub criteria (below)		
D. 1. M&E Design		
D. 2. M&E Plan Implementation (use for adaptive management)		
D. 3. Budgeting and Funding for M&E activities		
E. Catalytic Role		
F. Preparation and readiness		
G. Country ownership / drivenness		
H. Stakeholders involvement		
I. Financial planning		
J. Implementation approach		
K. UNEP Supervision and backstopping		

RATING OF PROJECT OBJECTIVES AND RESULTS

Highly Satisfactory (HS): The project had no shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Satisfactory (S): The project had minor shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Moderately Unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Unsatisfactory (U) The project had major shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Highly Unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives, in terms of relevance, effectiveness or efficiency.

Please note: Relevance and effectiveness will be considered as critical criteria. The overall rating of the project for achievement of objectives and results **may not be higher** than the lowest rating on either of these two criteria. Thus, to have an overall satisfactory rating for outcomes a project must have at least satisfactory ratings on both relevance and effectiveness.

RATINGS ON SUSTAINABILITY

A. Sustainability will be understood as the probability of continued long-term outcomes and impacts after the GEF project funding ends. The Terminal evaluation will identify and assess the key conditions or factors that are likely to contribute or undermine the persistence of benefits after the project ends. Some of these factors might be outcomes of the project, i.e. stronger institutional capacities, legal frameworks, socio-economic incentives /or public awareness. Other factors will include contextual circumstances or developments that are not outcomes of the project but that are relevant to the sustainability of outcomes.

Rating system for sustainability sub-criteria

On each of the dimensions of sustainability of the project outcomes will be rated as follows.

Likely (L): There are no risks affecting this dimension of sustainability.

Moderately Likely (ML). There are moderate risks that affect this dimension of sustainability.

Moderately Unlikely (MU): There are significant risks that affect this dimension of sustainability

Unlikely (U): There are severe risks that affect this dimension of sustainability.

According to the GEF Office of Evaluation, all the risk dimensions of sustainability are deemed critical. Therefore, overall rating for sustainability will not be higher than the rating of the dimension with lowest ratings. For example, if a project has an Unlikely rating in any of the dimensions then its overall rating cannot be higher than Unlikely, regardless of whether higher ratings in other dimensions of sustainability produce a higher average.

RATINGS OF PROJECT M&E

Monitoring is a continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing project with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds. Evaluation is the systematic and objective assessment of an on-going or completed project, its design, implementation and results. Project evaluation may involve the definition of appropriate standards, the examination of performance against those standards, and an assessment of actual and expected results.

The Project monitoring and evaluation system will be rated on ‘M&E Design’, ‘M&E Plan Implementation’ and ‘Budgeting and Funding for M&E activities’ as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

“M&E plan implementation” will be considered a critical parameter for the overall assessment of the M&E system. The overall rating for the M&E systems will not be higher than the rating on “M&E plan implementation.”

All other ratings will be on the GEF six point scale.

GEF Performance Description	Alternative description on the same scale
HS = Highly Satisfactory	Excellent
S = Satisfactory	Well above average
MS = Moderately Satisfactory	Average
MU = Moderately Unsatisfactory	Below Average
U = Unsatisfactory	Poor
HU = Highly Unsatisfactory	Very poor (Appalling)

Annex 2 to Appendix 9: Co-financing and Leveraged Resources

Co financing (Type/Source)	IA Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursement (mill US\$)	
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual
- Grants										
- Loans/Concessional (compared to market rate)										
- Credits										
- Equity investments										
- In-kind support										
- Other (*)										
-										
-										
-										
-										
-										
Totals										

Co-financing (basic data to be supplied to the consultant for verification)

* Other is referred to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Leveraged Resources

Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO’s, foundations, governments, communities or the private sector. Please briefly describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project’s ultimate objective.

Table showing final actual project expenditure by activity to be supplied by the UNEP Fund management Officer. (insert here)

*Annex 3 to Appendix 9***Review of the Draft Report**

Draft reports submitted to UNEP EOU are shared with the corresponding Programme or Project Officer and his or her supervisor for initial review and consultation. The DGEF staff and senior Executing Agency staff provide comments on the draft evaluation report. They may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. The consultation also seeks agreement on the findings and recommendations. UNEP EOU collates the review comments and provides them to the evaluators for their consideration in preparing the final version of the report. General comments on the draft report with respect to compliance with these TOR are shared with the reviewer.

Quality Assessment of the Evaluation Report

All UNEP GEF Mid Term Reports are subject to quality assessments by UNEP EOU. These apply GEF Office of Evaluation quality assessment and are used as a tool for providing structured feedback to the evaluator.

The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EOU Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
UNEP EOU additional Report Quality Criteria	UNEP EOU Assessment	Rating
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

GEF Quality of the MTE report = 0.3*(A + B) + 0.1*(C+D+E+F)

EOU assessment of MTE report = 0.3*(G + H) + 0.1*(I+J+K+L)

Combined quality Rating = (2* 'GEF EO' rating + EOU rating)/3

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of terminal evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

GEF Minimum requirements for M&E***Minimum Requirement 1: Project Design of M&E³***

All projects must include a concrete and fully budgeted monitoring and evaluation plan by the time of Work Program entry (full-sized projects) or CEO approval (medium-sized projects). This plan must contain at a minimum:

- SMART (see below) indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, corporate-level indicators
- A project baseline, with:
 - a description of the problem to address
 - indicator data
 - or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation
- An M&E Plan with identification of reviews and evaluations which will be undertaken, such as mid-term reviews or evaluations of activities
- An organizational setup and budgets for monitoring and evaluation.

³ <http://gefweb.org/MonitoringandEvaluation/MEPoliciesProcedures/MEPTools/meptstandards.html>

Minimum Requirement 2: Application of Project M&E

- Project monitoring and supervision will include implementation of the M&E plan, comprising:
- Use of SMART indicators for implementation (or provision of a reasonable explanation if not used)
- Use of SMART indicators for results (or provision of a reasonable explanation if not used)
- Fully established baseline for the project and data compiled to review progress
- Evaluations are undertaken as planned
- Operational organizational setup for M&E and budgets spent as planned.

SMART INDICATORS GEF projects and programs should monitor using relevant performance indicators. The monitoring system should be “SMART”:

1. **Specific:** The system captures the essence of the desired result by clearly and directly relating to achieving an objective, and only that objective.
2. **Measurable:** The monitoring system and its indicators are unambiguously specified so that all parties agree on what the system covers and there are practical ways to measure the indicators and results.
3. **Achievable and Attributable:** The system identifies what changes are anticipated as a result of the intervention and whether the result(s) are realistic. Attribution requires that changes in the targeted developmental issue can be linked to the intervention.
4. **Relevant and Realistic:** The system establishes levels of performance that are likely to be achieved in a practical manner, and that reflect the expectations of stakeholders.
5. **Time-bound, Timely, Trackable, and Targeted:** The system allows progress to be tracked in a cost-effective manner at desired frequency for a set period, with clear identification of the particular stakeholder group to be impacted by the project or program.

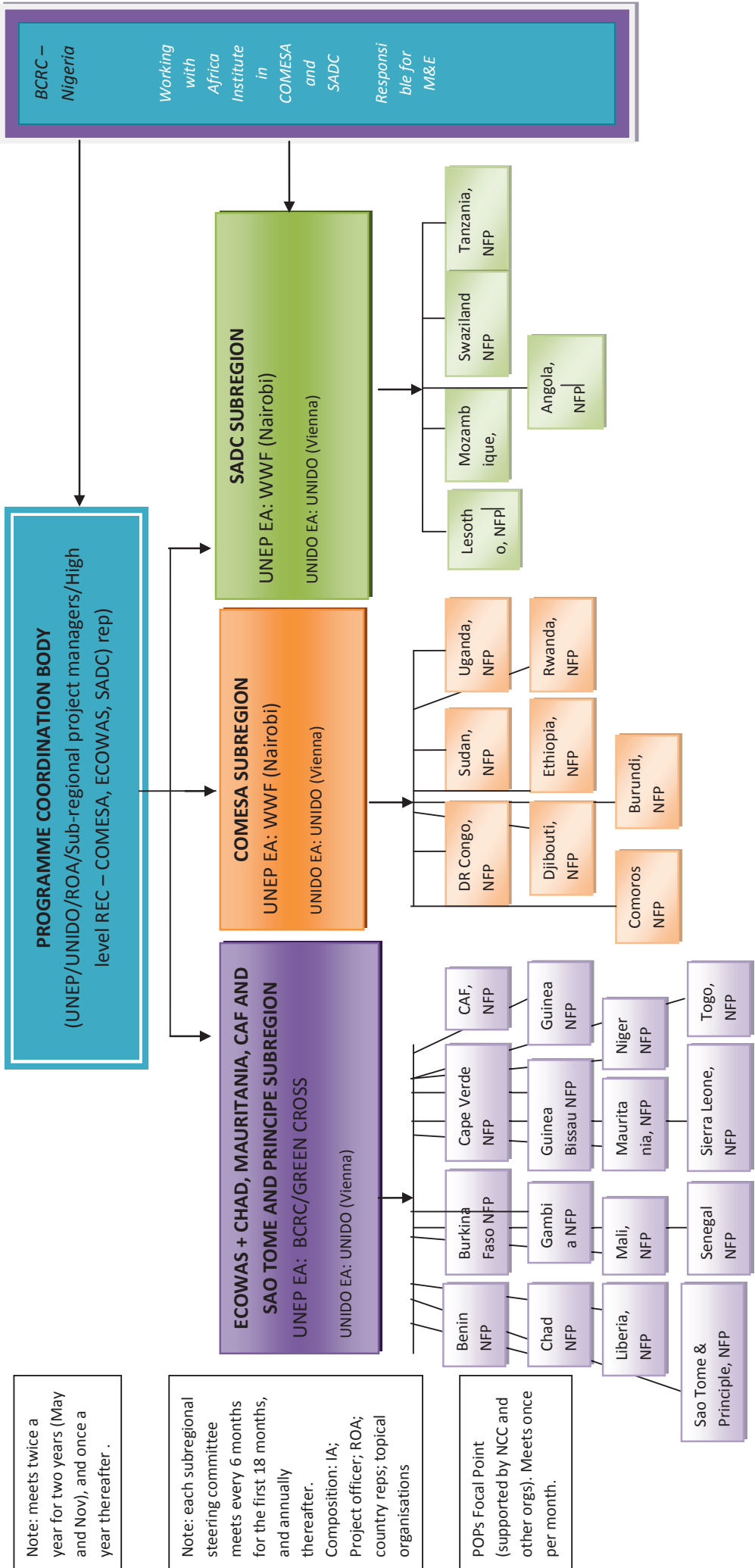
Annex 5 to Appendix 9

List of intended additional recipients for the Terminal Evaluation (to be completed by the IA Task Manager)

Name	Affiliation	Email
Aaron Zazueta	GEF Evaluation Office	azazueta@thegef.org
Government Officials		
GEF Focal Point(s)		
Executing Agency		
Implementing Agency		
.....	UNEP Quality Assurance Officer	

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)

PROPOSED PROGRAMMATIC STRUCTURE



Note: meets twice a year for two years (May and Nov), and once a year thereafter .

Note: each subregional steering committee meets every 6 months for the first 18 months, and annually thereafter.
Composition: IA; Project officer; ROA; country reps; topical organisations

POPs Focal Point (supported by NCC and other orgs). Meets once per month.



**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)**

Needs Assessment Report for the SADC Subregion

WWF

August 2010

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LIST OF ABBREVIATIONS

BAT:	Best Available Technology
BEP:	Best Environmental Practices
BCRC:	Basel Convention Regional Center
CIEN:	Chemical Information Exchange Network
COMESA:	Common Market for Eastern and Southern Africa
COPs:	Conference of Parties
DDT:	Dichlorodiphenyltrichloroethane
ECOWAS:	Economic Community of Western African States
FSP:	Full Size Project
GEF:	Global Environmental Facility
IPEN:	International POPs Elimination Network
ISO:	International Organization for Standardization
LDCs:	Least Developed Countries
NGOs:	Non-governmental Organizations
PCBs:	Polychlorinated-diphenyls
POPs:	Persistent Organic Pollutants
PPG:	Project Preparation Grant
QSP:	Quick Start Program
RECs:	Regional Economic Communities
SADC:	Southern African Development Community
SAICM:	Strategic Approach to International Chemicals Management
SIDs:	Small Islands Developing States
SIS:	Site Identification Strategy
UNEP:	United Environmental Program
UNIDO:	United Nations Industrial Development Organization
UNISWA:	University of Swaziland
UPOPs:	Unintentionally Persistent Organic Pollutants
WHO:	World Health Organization
WWF:	World Wildlife Fund for Nature

EXECUTIVE SUMMARY

UNEP and UNIDO have assisted most African countries in developing their National Implementation Plans (NIPs), to implement the Stockholm Convention. The two agencies are leading the development of Full Size Projects focused on capacity building for implementation of NIPs in Least Developed Countries (LDCs) in Africa for submission to GEF. The WWF Eastern and Southern Africa Regional Programme Office was contracted by UNEP/DGEF to undertake the implementation of a Project Preparation Grant (PPG) for the programme. The overall goal of the programme is to strengthen and/or build the capacity required in LDCs in Africa to implement their Stockholm Convention, and specifically the NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening country's foundational capacities for sound management of chemicals.

The program will have eight main elements the implementation of which will be shared between UNEP and UNIDO as follows: Legislative and regulatory framework (UNEP Lead); administrative and enforcement capacity (UNEP); BAT and BEP strategies (UNIDO); integrated waste management (UNIDO); reduced exposure to POPs (UNIDO); Site Identification Strategy (UNIDO); dissemination and sharing of experiences (UNEP); and, Programme coordination and management (UNEP/UNIDO)). The programme elements (apart from programme coordination and management) respond to priorities identified by participating countries and are expected to generate both global and local benefits.

The programme design is participatory and coherent with the priority actions/activities set in the NIPs, as essential and indispensable prerequisites for the smooth implementation of the Stockholm Convention in the LDCs of the SADC Sub region. As part of the consultation process with countries, a needs assessment was conducted to help identify the requirements and priority areas requiring intervention. This report is based on the consultation workshop held in Pretoria, South Africa, from 22-25 March 2010 involving countries of the SADC sub-region, namely: Tanzania; Lesotho; Swaziland; and Mozambique. The meeting was also attended by representatives from the Basel Convention Coordinating Centre in Nigeria and the Africa Institute for the Environmentally Sound Management of Hazardous Wastes and Other Wastes. Based on the presentations from participants and facilitated discussions during the workshop, priority needs were identified and ranked for three areas of the programme: the legislative and regulatory framework, the administrative capacity and information dissemination and experience sharing.

1. INTRODUCTION

1.1. Background and Context

Under Article 7 of the Stockholm Convention, each Party is obligated to develop and implement a National Implementation Plan (NIP). The purpose of the NIP is to inform the Conference of the Parties and the public regarding national initiatives designed to meet the requirements of the Stockholm Convention.

The process of developing the NIP consists of five steps namely: establishment of a coordination mechanism and process organisation; establishment of POPs inventories and assessment of national infrastructure capacity; priority setting and objective setting; formulation of the NIP; and endorsement by stakeholders and government. The development process is undertaken by stakeholders drawn from research and academic institutions, government departments, private sector and NGOs.

The GEF-4 is providing funding for “Capacity Strengthening and Technical Assistance for the Implementation of National Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed Countries (LDCs)”. The aim of the programme is that the participating countries build the capacity to implement the measures required to meet their obligations under the Stockholm Convention, including POPs reduction measures, which will improve their general capacity to achieve sound management of chemicals.

UNEP and UNIDO have assisted most of the participating countries in developing their NIPs. WWF Eastern and Southern Africa Regional Programme Office was contracted by UNEP to undertake the execution of the Project Preparation Grant (PPG) for the UNEP aspects of the programme, to formulate the three subregional Full Size Project (FSP) proposals, as well as a needs assessment for each subregion.

The overall goal of the programme is to strengthen and/or build the capacity required in LDCs in Africa to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening country's foundational capacities for sound management of chemicals.

The programme seeks to achieve the following outcomes:

- i) Legislative and regulatory framework in place in the supported countries for the management of POPs and chemicals in general (UNEP);

- ii) Strengthened and sustainable administrative and enforcement capacity, including chemicals management administration within the central governments in the supported countries (UNEP);
- iii) BAT and BEP strategies including cleaner production technologies and practices introduced in industrial production processes (UNIDO);
- iv) Knowledge on integrated waste management available and well developed integrated waste management plans implemented (UNIDO);
- v) Reduced exposure to POPs at the workplace, in close proximity to POPs wastes dumpsites, and UPOPs emission sources (UNIDO);
- vi) Understanding of the Site Identification Strategy (SIS) and capacity strengthened within the relevant government institutions with regards to application of the strategy during the identification of contaminated sites, as well as with regards to the development of remediation plans following an environmental sound approach (UNIDO);
- vii) Coordinated dissemination and sharing of experiences and good practices at national, regional and global scale (UNEP);
- viii) Programme coordination and management (UNEP and UNIDO).

The programme document identifies three subregional projects following the structure of the three Sub-Saharan African Regional Economic Communities (RECs), namely: the Common Market for Eastern and Southern Africa (COMESA), the Economic Community of Western African States (ECOWAS) and the Southern Africa Development Community (SADC). The four SADC countries participating in the programme are: Mozambique, Tanzania, Lesotho and Swaziland. This report summarises the needs expressed by participating countries during a meeting held in Pretoria, South Africa from 23-25 March 2010. This meeting was one on three meetings held to identify priority areas of intervention that were held in each of the sub regions identified. During each workshop representatives from participating countries provided input and feedback of the priority needs in the regions. The meeting for countries in the COMESA region took place in February in Nairobi, Kenya while the meetings for the ECOWAS and SADC regions took place in March in Dakar, Senegal and Pretoria South Africa respectively. It should be noted that Mozambique attended the COMESA consultation though it belongs to the SADC group and as such, this country's needs are reflected in the COMESA needs assessment. Tanzania attended both the COMESA and SADC consultation and its needs are reflected in both needs assessments.

The needs assessment constituted the main objective of the stakeholders' workshop. Other objectives of the workshop were 1) to agree on issues to be inserted into the sub regional Project Document by the experts of UNEP and UNIDO, and discuss budget issues, co-funding arrangements and all other issues needed to be discussed to finalize Full Sized Project documents for submission to GEF; and 2) to agree on co-financing issues and letters of commitments from the participating countries. This report focuses on needs assessment component.

1.2 Purpose and Objectives

The purpose of this needs assessment is to identify the requirements and priority areas of intervention with regard to capacity building for NIP implementation in participating countries. The assessment covers the requirements and priority areas of intervention for participating countries, based on the input and feedback from representatives of participating countries during the needs assessment workshop, as well as from documents such as the NIPs and national progress reports on their implementation.

1.3 Procedure/Methodology

The key activities outlined in the PPG were covered during the stakeholders' workshop. These include:

1. Facilitate a regional stakeholders meeting for SADC participating countries.
2. Conduct needs assessment and design of project interventions with regards to legislative and regulatory framework.
3. Discuss with national focal points on progress on implementation of their NIPs, and identification of gaps and weaknesses with regard to existing legislative and regulatory framework.
4. Conduct needs assessment and design of project interventions with regards to strengthening the enforcement and administrative capacity in participating countries.
5. Discuss with national focal points on progress on implementation of their NIPs and identification of key areas of concern with regard to existing enforcement and administrative capacity.
6. Conduct needs assessment for identification and formulation of support to existing regionally coordinated mechanisms for effective dissemination and sharing of the specific project/country experiences.

7. Discuss with representatives of Basel Regional Centres, the Africa Institute, IPEN and others to review previous efforts in dissemination of experiences of different countries and projects by these regional bodies.
8. Assess the capacity of these organizations to undertake priority activities and suggest modalities for their future engagement and participation in such efforts.

The meeting involved introductory presentations on the UNEP/UNIDO Project by UNEP and UNIDO, presentations on country NIPs by representatives of countries and sharing of experiences from other initiatives implemented by regional and international organisations. The presentations provided analysis for each country in terms of priorities, progress on implementation to date, bottlenecks to implementation, and priority areas for capacity development/institutional strengthening and information sharing.

1.4 Outline of the Report

The report is composed of the executive summary and five chapters.

- Chapter 1 introduces the report and the procedures.
- Chapter 2 provides a country-by-country analysis of NIPs .
- Chapter 3 presents considerations from regional and international institutions.
- Chapter 4 outlines priority capacity building interventions.
- Chapter 5 presents key conclusions.

2. COUNTRY NIP IMPLEMENTATION ANALYSIS

2.1. Introduction

As required by Article 7 of the Stockholm Convention, most countries in SADC have developed their National Implementation Plan and this has involved extensive investigations and consultations. Most countries have established national coordinating groups led by the Ministry of Environment. The developed NIPs have a series of activities, strategies and action plans to be carried out through the implementation period set by the Stockholm Convention COPs. These NIPs documents have been submitted to the Convention Secretariat and thereafter have served as an overall global guidance for implementing the Stockholm Convention.

During the preparation of the NIP, analysis of gaps between the Convention requirements and the present situation has been made. This gap analysis has shown that in order to meet the Convention requirements, there is a need for strengthened capacity in a range of areas namely: institutional capacity in technical support institutions; 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.

This section highlights the key priorities identified in NIPs in relation to three areas of the programme namely:

- The legislative and regulatory framework
- Administrative and enforcement capacity
- Dissemination and sharing of experiences and good practices

This section also summarises the analysis presented by country representatives during the workshop on the status of NIP implementation, the challenges and constraints faced, and key national priorities.

2.2. Tanzania

Tanzania completed its NIP in December 2005.

Legislative and regulatory framework

The legislative and regulatory framework of Tanzania is evolving. Tanzania has put in place a policy and regulatory regime for POPs management, and is currently developing regulations on POPs, and guidelines on contaminated sites.

The NIP proposed the following activities for the management of POPs:

- The development of a comprehensive policy framework on chemicals management.

Administrative and enforcement capacity

Tanzania identified the following priorities related to administrative and enforcement capacity:

- Training on continuous monitoring of contaminated sites; and
- Training in data collection and management.

Dissemination and sharing of experiences and good practices

Tanzania set out the following priorities for information dissemination and awareness:

- Increasing POPs awareness among decision makers;
- Increased institutional coordination on POPs; and
- Engaging the private sector in POPs activities.

Current Status of NIP Implementation

Tanzania outlined the following areas of **progress**:

- The development of guidelines on POPs contaminated sites (using the UNIDO guide as reference).

Tanzania outlined the following **constraints** and **challenges** to implementation:

- Lack of a comprehensive policy framework to manage POPs;
- Lack of adequate funds;
- Inadequate coordination among stakeholders;
- Lack of POPs awareness among decision makers;
- POPs issue is low priority; and
- No specific organ/body within the government tasked with specifically dealing with POPs.

2.3. Lesotho

Lesotho completed its NIP in May 2005.

Legislative and regulatory framework

There is a lack of an adequate legislative and regulatory framework in Lesotho. The NIP proposed the following activities for the management of POPs:

- The development of a framework and legal instruments for effective management of POPs and persistent toxic substances; and
- Amendment of the Environment Act to include POPs.

Administrative and enforcement capacity

Lesotho identified the following priorities related to administrative and enforcement capacity:

- Increase understanding of POPs at local level and development of waste disposal at local level;
- Development of monitoring and evaluation tools and indicators for assessing POPs impacts on health, environment and socioeconomic activities; and
- Establish information management systems and a database of POPs generation.

Dissemination and sharing of experiences and good practices

Lesotho set out the following priorities for information dissemination and awareness:

- Increase awareness and education among communities on health risks of POPs;

Current Status of NIP Implementation

Lesotho outlined the following areas of **progress**:

- Development of a pesticides and hazardous chemicals bill;
- Work on integrated solid waste management has been initiated;
- Baselines study on waste management have been completed;
- Amendment of Environment Act (2000) led to the Environment Act (2008);
- Lesotho currently updating national chemical profile with funding from the SAICM QSP;
- Some awareness raising activities targeting different groups undertaken; and
- National power company participating in initiative in SADC to manage PCBs.

Lesotho outlined the following **constraints** and **challenges** to implementation:

- Misunderstanding between government of Lesotho and the GEF. Government treated the NIP development as a discrete activity. POPs management was not mainstreamed and the government was not aware of this expectation;
- No dedicated budget for POPs activities;

- Lack of appreciation of the seriousness of POPs impacts by decision makers; and
- Poor collaboration among stakeholders with regard to chemicals management issues.

2.4. Swaziland

Swaziland is in the final stages of completing its NIP, and anticipates it will be submitted in late 2010.

Legislative and regulatory framework

The legislative and regulatory framework of Swaziland is piecemeal. Swaziland proposed the following activities for the management of POPs:

- Promulgating a chemicals management bill that will cover all POPs issues;
- Incorporate POPs issues into relevant existing regulations

Administrative and enforcement capacity

Swaziland identified the following priorities related to administrative and enforcement capacity:

- Establish an inter-sectoral coordinating mechanism for POPs management;
- Develop a Memorandum of Understanding between the Swaziland Development Authority and relevant institutions for the implementation of the Stockholm Convention;
- Encourage voluntary compliance through standards such as ISO;
- Training in monitoring of importation of POPs pesticides;
- Improve laboratory capacity to test for POPs (build capacity for UNISWA laboratory to analyse POPs and train staff); and
- Train Customs officials on preventing illegal imports.

Dissemination and sharing of experiences and good practices

Swaziland set out the following priorities for information dissemination and awareness:

- Publicise Stockholm Convention among the population; and
- Develop a communications strategy and information for educating communities.

Current Status of NIP Implementation

Swaziland outlined the following **constraints** and **challenges** to implementation:

- Human capacity: There is only one legal drafter in the Swaziland government to develop and review regulations.

3. CONSIDERATIONS FROM REGIONAL AND INTERNATIONAL INSTITUTIONS

3.1 BCRC Nigeria

The BCRC Nigeria provided an overview of its activities including an upcoming regional e-waste project. The BCRC noted its important role as coordinator of the other Basel Regional Centres in Africa. It was suggested that BCRC Nigeria could be responsible for Monitoring and Evaluation of the Programme.

3.2 Africa Institute

The Africa Institute for the Environmentally Sound Management of Hazardous Waste and Other Wastes was established in 2004 to serve all English-speaking African countries (<http://www.africainstitute.info>). Seven countries, including Lesotho and Tanzania, have ratified the agreement to establish the Institute. Swaziland has signed the agreement, but has not yet ratified. The Africa Institute covers the Basel, Stockholm and Rotterdam Conventions. The Secretariat is hosted in Pretoria by the Government of South Africa. Currently the institute has two staff - the Director and an Accountant. It was suggested that the African Institute could co-execute this project.

4. PRIORITY CAPACITY BUILDING INTERVENTION ACTIONS

4.1. Legislative and Regulatory Framework

Many countries expressed the need to conduct analysis of existing legislation in relation to POPs, including sectoral legislations that lack specificity on the management of POPs. Other priorities included the need for comprehensive model legislation on chemicals management to be made available for adaption to national circumstances.

Based on these observations, the following area was ranked as high priority for the programme in the area of legislative and regulatory framework:

1. Model comprehensive regulatory system including – legislation, regulations, guidelines for implementation, and guidelines for setting standards. Countries also expressed their preference to work with SADC on this activity, as it fits within the mandate of the organisation.
2. Model sector-specific regulations developed for incinerator operation, contaminated sites, and biopesticides.

4.2. Sustainable Enforcement of Administrative Capacity

Enforcement and administrative capacity needs listed by workshop participants included the need to train NGOs and private sector on international and regional standards. Particular emphasis was placed on the need to enhance the capacity of municipal level staff on public health and waste management. Countries also emphasised the need to improve laboratory capacity for POPs. One country also stressed the need to improve engagement with the private sector.

The top priorities agreed during the workshop are as follows:

1. Network subregional laboratories and include updated information on equipment, staff capability and analytical capability. Make links with other activities providing laboratory upgrades.
2. Training of trainers for national level environment staff, provincial level environmental staff, and private sector stakeholders on the Stockholm Convention and hazardous wastes.
3. Training for environment and legal drafting staff in the use of economic instruments for chemicals and wastes.
4. Development of a tool kit, and train judiciary and Ministry of Finance staff on the Stockholm Convention and other chemicals conventions.

4.3. Dissemination and Sharing of Experiences and Good Practices

Dissemination and sharing of experiences remains one of the major priorities of SADC countries. Workshop participants suggested a number of ideas on information dissemination and experience sharing. This includes re-establishing the Chemical Information Exchange Network; the need for the development of communication strategies on POPs; and the need to increase awareness and education of Basotho communities on the effects of POPs on health and environment. Several also mentioned the need to establish information systems and database of POPs generation, use and contaminated sites. All agreed that high level awareness raising of POPs issues was necessary for the effective implementation of NIPs.

The meeting recognised all these ideas as relevant and important, but due to limited resources, the following priorities were ranked the highest by participants:

1. Revitalize the Chemical Information Exchange Network (CIEN) as a knowledge management system.
2. Training in the development of communication strategies for POPs.

3. Development of POPs education materials (including on 9 new POPs), and pilot community training - working with local NGOs and focusing on vulnerable communities.
4. Bring high-level representatives to SADC forum to increase high level awareness of the Stockholm Convention.

5. KEY CONCLUSIONS

The needs assessment confirms the need to strengthen capacity for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in SADC countries. The countries in the region are very varied in their strengths for POPs management but all are committed to set up national and regional mechanisms in their efforts to meet the obligations of the Stockholm Convention.

The stakeholder consultation workshop, discussions with country representatives and secondary sources revealed the need to enhance the legislative and regulatory framework, the administrative capacity and information dissemination and experience sharing.

Due to the funding constraints, only top priority needs were retained for inclusion in the project document. However, in order to have an integrated approach to the management of POPs, efforts should be made to ensure that the other identified needs are addressed at the national level or under the leadership of UNEP/UNIDO and other partners.

Finally, the stakeholder consultation workshop was instrumental in exploring other ongoing initiatives in order to ensure synergies and assess possibilities of co financing. These aspects were not covered in this report but are crucial for the project design and project implementation.

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National Implementation Plan for Stockholm Convention on POPs – Djibouti, Ethiopia, Mozambique, Rwanda, Sudan, Tanzania.

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ANNEX 1: Workshop Agenda

Sub Regional Workshop on Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention on POPs

March 23-25, 2010, Pretoria, South Africa

Tuesday, 23 March 2010

Facilitator: **UNIDO/UNEP**

Time	Topic	Discussion/ Lead
08.30	Arrival and Registration	All
09.00	Opening and preliminary remarks	UNIDO/UNEP
09.15	Introduction of Participants	All
09.35	Introduction of the UNEP/UNIDO Project	UNIDO/UNEP
10.00	<i>Coffee Break</i>	
10.30	Discussion of UNIDO draft document	UNIDO
12.30	<i>Lunch</i>	
13.30	Discussion of UNIDO draft document	UNIDO
15.00	<i>Coffee Break</i>	
15.30	Discussion of UNIDO draft document	UNIDO
17.00	Close of day 1	

Wednesday, 24 March 2010

Facilitator: **UNIDO**

Time	Topic	Discussion/ Lead
09.00	Discussion of UNIDO draft document	UNIDO
10.30	<i>Coffee Break</i>	
11.00	Three Presentations by Dr. Dr Taelo Letsela (Africa Institute for the ESM of hazardous and other wastes RCBC, South African CPC, and Dr. Nouri (20 minutes each)	UNIDO
12.30	<i>Lunch</i>	
13.30	Start of UNEP Component Introduction- Needs identified in earlier consultations Group Discussions:	Country representatives

	Review of status of National Implementation Plans (NIPs) <ul style="list-style-type: none"> • Priorities • Progress on implementation to date • Bottlenecks to implementation Priority areas for capacity development/institutional strengthening	
17.00	Close of day 2	

Thursday, 25 March 2010:

Facilitator: [UNEP](#)

Time	Topic: NIPs – Needs Assessment	Discussion/ Lead
09.00	Group Discussions: Review of status of National Implementation Plans (NIPs) <ul style="list-style-type: none"> • Priorities • Progress on implementation to date • Bottlenecks to implementation Priority areas for capacity development/institutional strengthening	Country representatives
10.30	<i>Coffee Break</i>	
11.00	Discussion on information exchange, awareness raising and coordinated mechanisms for sharing of experiences <ul style="list-style-type: none"> • Specific information POPs focal points would benefit from sharing/harmonizing • Role of regional institutions • Country awareness raising strategies and activities - what works what does not 	Country representatives
12.30	<i>Lunch</i>	
13.30	<ul style="list-style-type: none"> • Framework for way forward 	
15.00	<i>Coffee Break</i>	
15.30	Discussion on co-finance, complementary projects and endorsement letters	All
17.00	Close of day 3	

ANNEX 2: List of Workshop Participants

	COUNTRY	NAME	DESIGNATION	EMAIL	TELEPHONE
1.	Ethiopia	Mr. Tequam Tesfamariam	UNIDO consultant	tequam1955@yahoo.com	+251 1 911675791
2.	Lesotho	Mr. Leon Ramatekoa	SAICOM Focal Point	lramatekoa@yahoo.co.uk ramatekoa@gmail.com	+266 5884177
3.	Swaziland	Mr. Vusumuzi Simelane	Swaziland Environment Authority	vfsimelane@sea.org.sz	+268 4046960
4.	Tanzania	Mr. Geoffrey Bakanga	Vice President's office, Division of Environment	bakgef@yahoo.com	+255 756 538875
5.	Togo	Mr. K.omla Sanda	UNIDO consultant	komsanda@hotmail.com	+228 9122647
6.	Uganda	Mr. Nouri Abdalla		nouriabdalla@yahoo.com	+256 714198800
7.	Kenya	Mr. Jan Betlem	UNEP	jan.betlem@unep.org	+254 727 755011
8.	Kenya	Ms. Angela Mwandia	WWF	AMwandia@wwfesarpo.org	+254 724 255317
9.	Nigeria	Prof. Oladele Osibanjo	Basel Center Nigeria	osibanjo@baselnigeria.org osibanjo@yahoo.com	+234 8033013378
10.	UK	Ms. Melanie Ashton	WWF consultant	melanie@iisd.org	
11.	Kenya	Prof. Abdouranman Bary	Programme Officer, UNEP Regional Office for Africa	Abdouraman.Bary@unep.org	+254 716431790
12.	South Africa	Mr. Taelo Letsela	Africa Institute for ESM of Hazardous and other Wastes	tletsela@deat.gov.za	+27 123103627

13.	Austria	Mohammed Eisa	UNIDO – POPs Focal Point	m_eisa@unido.org	+43 69914594261
14.	South Africa	Lorence Ansermet	UNIDO - SA	lansermet@unido.org	+27 823124628

ANNEX 3: Status of Stockholm Convention Ratification NIP Process (as per 19 February 2010)

	LDC Country	Status ¹	Enabling activities for POPs		Proposed Participating countries
			NIP submitted	Assisting Agency	
1	Angola	P		UNIDO	NIP under development and/or to be submitted
2	Benin	P	27 Oct 2008	UNEP	✓
3	Burkina Faso	P	2 Apr 2007	UNIDO	✓
4	Burundi	P	28 Mar 2006	UNIDO	✓
5	Cape Verde	P		UNEP	NIP under development and/or to be submitted
6	CAR ²	P	08 Oct 2008	UNIDO	✓
7	Chad	P	28 Apr 2006	UNIDO	✓
8	Comoros	P	29 Jan. 2008	UNDP	✓
9	D R Congo	P	25 Nov 2008		✓
10	Djibouti	P	1 Jun 2007	UNIDO	✓
11	Equat. Guinea				Not yet ratified
12	Eritrea	P		UNIDO	NIP under development and/or to be submitted
13	Ethiopia	P	9 Mar 2007	UNIDO	✓
14	Gambia	P		UNEP	NIP under development and/or to be submitted
15	Guinea	P		UNEP	NIP under development and/or to be submitted
16	Guinea-Bissau	P		UNEP	NIP development process just started
17	Lesotho	P		UNIDO	NIP under development and/or to be submitted
18	Liberia	P	20 Mar 2008	UNIDO	✓
19	Madagascar	P	25 Sept 2008	UNEP	✓
20	Malawi	S		UNIDO	Not yet ratified
21	Mali	P	9 Aug. 2006	UNEP	✓
22	Mauritania	P		UNEP	NIP under development and/or to be submitted
23	Mozambique	P	12 Aug 2008	UNEP	✓
24	Niger	P		UNIDO	NIP under development and/or to be submitted
25	Rwanda	P	30 May 2007	UNIDO	✓
26	Sao Tome & P.	P	12 Apr 2007	UNIDO	✓
27	Senegal	P	26 April 2007	UNEP	✓
28	Sierra Leone	P	X	UNIDO	NIP under development and/or to be submitted
29	Somalia				Not yet ratified
30	Sudan	P	4 Sept. 2007	UNDP	✓
31	Swaziland	P	Transmission Pending		
31	Togo	P	13 Oct. 2006	UNIDO	✓
32	Uganda	P	13 Jan 2009	UNEP	✓
33	UR Tanzania	P	12 Jun 2006	UNIDO	✓

¹ Status of Stockholm Convention ratification (P: Party; S: Signatory)

² CAR = Central African Republic

34	Zambia	P		UNEP	NIP under development and/or to be submitted
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UNITED NATIONS ENVIRONMENT PROGRAMME

Programme des Nations Unies pour l'environnement Programa de las Naciones Unidas para el Medio Ambiente
Программа Организации Объединенных Наций по окружающей среде برنامج الأمم المتحدة للبيئة

联合国环境规划署



Drafter: Km
Phone: +41 22 917 82 58
Email: kaj.madsen@unep.org
Ref:

Date:

Subject: Co-financing for the below mentioned GEF-project

Dear Ms Niamir-Fuller,

In my capacity as Head of Chemicals Branch in DTIE, I confirm that the Chemicals Branch has provided and is expected to continue funding from 2006 until 2013 to assist developing countries in development of legal/institutional infrastructures and economic instruments for cost recovery in Africa which is complementary to the GEF project "Capacity Strengthening and Technical Assistance for the Implementation of National Implementation plans (NIPs) for the Stockholm Convention on POPs in Least Developed Countries and Small Island Developing States in Africa" to be implemented by UNIDO and UNEP.

The co-financing consists of financial support to project activities provided by grants from the government of Sweden and the government of Norway. The total sum of co-financing amounts to US\$ 1,526,097 of which **US\$ 1,370,000** is a grant and **US\$ 156,097** in kind. Please refer to the detailed breakdown in the attached table.

Chemicals Branch looks forward to collaborating further to enhance synergies between chemicals management related activities for Least Developed Countries and Small Island Developing States in Africa.

Yours sincerely,

Per M. Bakken

Head

Chemicals Branch

Division of Technology, Industry and Economics

Ms. Maryam Niamir-Fuller
GEF Executive Coordinator and Director
Division of Global Environmental Facility Coordination
UNEP
PO. Box 30552 Nairobi
Kenya

Breakdown of co-financing

Component of co-financing	Grant US\$	In kind US\$
Grant by the Swedish Chemicals Agency: Development of guidance on development of legal and institutional infrastructures in developing countries	420,000	
Grant by the Norwegian Government: Development and testing of guidance on economic instruments	450,000	
Grant by the Swedish Chemicals Agency: Further development of integrated guidance on legal/institutional infrastructures and economic instruments for cost recovery	500,000	
Chemicals Branch staff for 4 years: 20% of P-4 at yearly salary 195,121.		156,097
Total co-financing	1,370,00	156,097



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WWF Africa and
Madagascar
Programme

c/o ACS Plaza, Lenana
Road,
PO Box 62440
Nairobi, Kenya

Tel: +254-713 601 378
Fax: +254 20 3877389
lsome@wwfesafrica.org
www.panda.org

Nairobi, July 29th, 2010

To: **Maryam Niamir-Fuller**
GEF Executive Coordinator and Director
Division of Global Environment Facility (GEF) Coordination UNEP
PO Box 30552 Nairobi, Kenya
Tel: (254 20) 762-4166, Fax: (254 20) 762-4041
E-mail: Jan.Betlem@UNEP.org; m.eisa@unido.org;

Subject: Letter of Commitment to co-finance the UNEP/UNIDO regional project "Capacity Strengthening and Technical Assistance for the Implementation of National Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed Countries (LDCs)" in Africa.

WWF welcomes the GEF programme 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) to be implemented by UNEP and UNIDO. The objectives of the project are aligned to a regional policy programme of the WWF Macroeconomics Programme/Africa and Madagascar Programme - the Collaborative agreement to support policy and partnership in Africa. Through this programme WWF aims at engaging with African development institutions and regional economic communities within the African continent to promote integrated approaches that link development, environment and climate change institutions, policies and decision-making.

WWF will collaborate with UNEP, UNIDO and the participating countries to develop and implement the GEF project. WWF will provide \$75,000 in kind as counterpart funding to the programme. This amount will be for implementation of programme activities until December 2010. Additional support after December 2010 will be communicated upon completion of our 5 year strategic plan.

Sincerely,

Laurent M. SOME
Director, External Relations and Partnership

AFRICAN UNION

الاتحاد الأفريقي



UNION AFRICAINE

UNIÃO AFRICANA

Reference:

Date:

To: **Maryam Niamir-Fuller**

GEF Executive Coordinator and Director

Division of Global Environment Facility (GEF) Coordination UNEP

PO Box 30552 Nairobi, Kenya

Tel: (254 20) 762-4166, Fax: (254 20) 762-4041

E-mail: Jan.Betlem@UNEP.org; m.eisa@unido.org

Subject: Letter of Commitment to co-finance the UNEP/UNIDO regional project “Capacity Strengthening and Technical Assistance for the Implementation of National Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed Countries (LDCs)” in Africa

As the Secretariat to the AU, the principal organization on the continent responsible for spearheading socio economic development in Africa, the African Union Commission (AUC) is committed to supporting the implementation of sustainable development commitments through processes and programs for Africa. In this regard, the AUC welcomes the GEF–UNEP-UNIDO programme related to POPs management in Africa. The objective of this programme is in harmony with AUC’s to promote environmentally sound management of chemicals and effective implementation of environmental conventions.

In this regard, the AUC through its EC-ACP Capacity Building Program on Multilateral Environmental Agreements (MEAs Project) is seeking to collaborate with the UNEP-UNIDO-GEF program in the following activity area outlined in the MEAs Project work plan:

Activity 4.3c- Develop two legislative POPs frameworks. (The activity can focus on developing guidelines that can be used by participating countries to develop their legislation). The activity is at an estimated cost of US \$ 110,000.

In order to implement the above mentioned activity under the AUC-UNEP-GEF collaboration, AUC through its EC-ACP Capacity Building Program on Multi lateral Environmental Agreements commits to contributing a total of US\$ 110,000 (one hundred and ten thousand US dollars) as counterpart funding. The funds will be allocated to support activity 4.3c as stated above.

Sincerely,

Dr. Abebe Haile Gabriel

Ag. Director, DREA

African Union Commission.

Ref: QSPTF/10/5/0105

27 May 2010

Dear Ms Niamir-Fuller,

In my capacity as Coordinator of the secretariat for the Strategic Approach to International Chemicals Management (SAICM), I confirm that the SAICM Quick Start Programme (QSP) Trust Fund has been providing and is expected to continue providing funding from 2006 until 2013 to eligible developing countries and countries with economies in transition for national and multi-country projects related and complementary to the GEF project "Capacity Strengthening and Technical Assistance for the Implementation of National Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed Countries and Small Island Developing States in Africa" to be implemented by UNIDO and UNEP.

The Quick Start Programme was established by resolution I/4 of the first session of the International Conference on Chemicals Management in 2006 and aims "to support activities to enable initial capacity building and implementation in developing countries, least developed countries, small island developing States and countries with economies in transition." Arrangements for the establishment of the QSP and its Trust Fund were initiated by the SAICM secretariat in May 2006. The Trust Fund is open for contributions until the third session of the International Conference on Chemicals Management scheduled for 2012 and for disbursements until 2013.

It should be noted that the SAICM Business Plan adopted in 2007 and updated in 2009 includes the target that at least one project each should be approved for at least 75 per cent (57) of the 76 Least Developed Countries and Small Island Developing States within the life-time of the Trust Fund.

Please note that the current approved projects funded by the SAICM QSP Trust Fund between 2006 and 2010 in countries participating in the above GEF project have been allocated a total of US\$ 4,308,642 from the Trust Fund. The list of projects is presented in the annex to this letter. The SAICM secretariat is pleased to confirm the amount of US\$ 4,308,642 as in-kind co-funding to the above mentioned GEF project during its implementation period.

The SAICM secretariat looks forward to collaborating further to enhance synergies between chemicals management related initiatives for Least Developed Countries and Small Island Developing States in Africa.

Yours sincerely,


Matthew Gubb
Coordinator
SAICM Secretariat

Ms. Maryam Niamir-Fuller
GEF Executive Coordinator and Director
Division of Global Environment Facility (GEF) Coordination UNEP
PO Box 30552 Nairobi, Kenya
Tel: (254 20) 762-4166
Fax: (254 20) 762-4041

Annex I

Governments and projects supported through the Quick Start Programme Trust Fund in partner countries to the POPs Capacity Building Programme for LDCs and SIDS in Africa

Status as per April 2010

Country	LDC-SIDS	Project title	Executing agency	Funding	Round	Project type
Burkina Faso	LDC	Updating the national chemicals management profile, development of a national SAICM capacity assessment and holding a national SAICM priority setting workshop	UNITAR	\$49,946	1st	multi-country
		Strengthening pesticide management in CILSS Member States	CILSS	\$49,413	7th	multi-country
Burundi	LDC	Updating the National Chemicals Management Profile and developing a national chemicals database in Burundi	UNITAR	\$99,250	2nd	individual
		Institutional capacity building for implementing of the Stockholm Convention on POPs and awareness raising on POPs issues		\$124,950	7th	multi-country
Chad	LDC	Strengthening integrated chemicals management for effective SAICM implementation in Chad	UNITAR	\$119,900	2nd	individual
		Strengthening pesticide management in CILSS Member States	CILSS	\$49,413	7th	multi-country
Djibouti	LDC	Updating the national chemicals management profile, development of a national SAICM capacity assessment and holding a national SAICM priority setting workshop	UNITAR	\$49,946	1st	multi-country
		Strengthening the capacity of Djibouti to control the transboundary movements of hazardous wastes and chemicals in the context of the Basel Convention, the International Health Regulations (WHO, 2005) and other relevant MEAs as per necessary, and ensure their environmentally sound management	Basel Convention Regional Centre	\$249,930	6th	individual
Gambia	LDC	Strengthening Capacities for SAICM Implementation and supporting Globally Harmonized System of Classification and Labelling of Chemicals (GHS) Capacity Building in the Gambia	UNITAR	\$250,000	6th	individual
		Strengthening pesticide management in CILSS Member States	CILSS	\$49,413	7th	multi-country
Guinea (Republic of)		Developing an Integrated National Programme for the Sound Management of Chemicals and SAICM Implementation in the Republic of Guinea	UNITAR	\$250,000	7th	individual
Lesotho	LDC	Updating the national chemicals management profile, developing a national SAICM capacity assessment, and holding of a national SAICM priority setting workshop in Lesotho	UNITAR	\$54,950	2nd	individual
Liberia	LDC	Developing a National Chemicals Management Profile, developing a national SAICM capacity assessment and holding a national SAICM priority setting workshop in Liberia	UNITAR	\$71,050	3rd	individual

Country	LDC-SIDS	Project title	Executing agency	Funding	Round	Project type
		Liberia, UNDP, and UNEP Partnership Initiative for the Integration of Sound Management of Chemicals Considerations into Development Plans and Processes	UNDP & UNEP	\$250,000	5th	individual
Madagascar	LDC	Updating the national chemicals management profile, development of a national SAICM capacity assessment and holding a national SAICM priority setting workshop	UNITAR	\$49,946	1st	multi-country
		Recycling/disposal of Insecticide-Treated Nets, exploratory project	WHO	\$250,000	5th	individual
Malawi	LDC	Updating the national chemicals management profile, developing a national SAICM capacity assessment, and holding of a national SAICM priority setting workshop in Malawi	UNITAR	\$50,576	2nd	individual
Mali	LDC	Updating the national chemicals management profile, developing a national SAICM Capacity assessment, and holding a national SAICM priority setting workshop in Mali	UNITAR	\$58,400	3rd	individual
		Chemical Accident Prevention Programme for West Africa (CAPP-WA)	-	\$250,000	6th	multi-try
Mauritania	LDC	Mauritania, UNDP and UNEP Partnership Initiative for the Integration of Sound Management of Chemicals Considerations into Development Plans and Processes	UNDP & UNEP	\$250,000	5th	individual
		Strengthening pesticide management in CILSS Member States*	CILSS	\$49,413	7th	multi-country
Niger	LDC	Strengthening pesticide management in CILSS Member States	CILSS	\$49,413	7th	multi-country
Rwanda	LDC	Updating the national chemicals management profile, development of a national SAICM capacity assessment and holding a national SAICM priority setting workshop	UNITAR	\$49,946	1st	multi-country
		Institutional capacity building for implementing of the Stockholm Convention on POPs and awareness raising on POPs issues		\$124,950	7th	multi-country
Sao Tome & Principe	LDC-SIDS	Updating the national chemicals management profile, development of a national SAICM capacity assessment and holding a national SAICM priority setting workshop	UNITAR	\$49,946	1st	multi-country
Senegal	LDC	Strengthening National Capacities in Senegal for SAICM Implementation	UNITAR	\$250,000	5th	individual
		Chemical Accident Prevention Programme for West Africa (CAPP-WA)	-	\$250,000	6th	multi-country
Sudan	LDC	Development of a Sustainable Integrated National Programme for Sound Management of Chemicals	UNIDO	\$144,072	3rd	individual
Tanzania	LDC	Capacity Enhancement for the Implementation of the Stockholm Convention in the United Republic of Tanzania	-	\$248,819	4th	individual
Uganda	LDC	Uganda, UNEP & UNDP Partnership initiative for the implementation of SAICM	UNDP & UNEP	\$250,000	1st	individual
Zambia	LDC	Strengthening Capacities for SAICM Implementation and Supporting GHS Capacity Building in Zambia	UNITAR	\$250,000	5th	individual

Country	LDC-SIDS	Project title	Executing agency	Funding	Round	Project type
Niger	LDC	Enabling Activities for the Development of a SAICM Implementation Plan within an Integrated National Programme for the Sound Management of Chemicals in the Republic of Niger	UNITAR	\$215,000	8th	individual

THE UNITED REPUBLIC OF TANZANIA

Telegrams: "MAKAMU"
Telephone: 213983/2118416
Fax: 2113856/2125297



VICE-PRESIDENT'S OFFICE
P. O. BOX 5380
DAR ES SALAAM
TANZANIA
20th May 2010

In reply please quote Ref: BD. 78/280/01/

To: **Maryam Niamir-Fuller**
GEF Executive Coordinator and Director
Division of Global Environment Facility (GEF) Coordination UNEP
PO Box 30552 Nairobi, Kenya
Tel: (254 20) 762-4166, Fax: (254 20) 762-4041
E-mail: Jan.Betlem@UNEP.org; m.eisa@unido.org;

**Subject: Letter of Commitment to co-finance the UNEP/UNIDO regional project
"Capacity Strengthening and Technical Assistance for the Implementation of National
Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed
Countries (LDCs)" in Africa**

In my capacity as GEF Operational Focal Point for the United Republic of Tanzania, I confirm that the above project proposal (a) is in accordance with the government's national priorities and the commitments made by the United Republic of Tanzania, under the relevant global environmental conventions and (b) has been discussed with relevant stakeholders, including the global environmental convention focal points, in accordance with GEF's policy on public involvement.

Accordingly, in order to implement the above mentioned project in the framework of the Stockholm Convention on POPs, the Vice President's Office, Division of Environment together with other national Ministries and partners to the project commit to contribute a total of US\$ 100,000 in cash and US\$ 250,000 in-kind as counterpart funding during the five year project implementation period. The funds will be allocated according to the project activities in the United Republic of Tanzania for the project document.

Sincerely,

A handwritten signature in blue ink, appearing to read "Eric Mugurusi".

Mr. Eric Mugurusi
GEF Focal Point



REPÚBLICA DE MOÇAMBIQUE

MINISTÉRIO PARA A COORDENAÇÃO DA ACÇÃO AMBIENTAL
DIRECÇÃO DE COOPERAÇÃO

12/03/2010

:

To:

Maryam Niamir-Fuller

GEF Executive Coordinator and Director

Division of Global Environment Facility (GEF) Coordination UNEP

PO Box 30552 Nairobi, Kenya

Tel: (254 20) 762-4166, Fax: (254 20) 762-4041

E-mail: Jan.Betlem@UNEP.org; m.eisa@unido.org;

Subject: Letter of Commitment to co-finance the UNEP/UNIDO regional project
“Capacity Strengthening and Technical Assistance for the Implementation of National
Implementation Plans (NIPs) for the Stockholm Convention on POPs in Least Developed
Countries (LDCs)” in Africa

In my capacity as GEF Operational Focal Point for Mozambique, I confirm that the
above project proposal (a) is in accordance with the government’s national priorities and
the commitments made by Mozambique under the relevant global environmental
conventions and (b) has been discussed with relevant stakeholders, including the global
environmental convention focal points, in accordance with GEF’s policy on public
involvement.

Accordingly, in order to implement the above mentioned project in the framework of the
Stockholm Convention on POPs, the Ministry of Environment together with other
national Ministries and partners to the project commit to contribute a total of US\$
100,000 in cash and US\$ 250,000 in-kind as counterpart funding during the five year
project implementation period. The funds will be allocated according to the project
activities in Mozambique for the project document.



M. Niamir-Fuller
GEF Operational Focal Point