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**INITIAL GUIDELINES FOR ENABLING ACTIVITIES  
FOR THE STOCKHOLM CONVENTION ON  
PERSISTENT ORGANIC POLLUTANTS**

GEF Council  
May 9-11, 2001  
Agenda Item 6

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**Global Environment Facility**

GEF/C.17/4  
April 6, 2001

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GEF Council  
May 9-11, 2001  
Agenda Item 6

**INITIAL GUIDELINES FOR ENABLING ACTIVITIES  
FOR THE STOCKHOLM CONVENTION ON  
PERSISTENT ORGANIC POLLUTANTS**

### **Recommended Council Decision**

The Council, having reviewed document GEF/C.17/4, *Initial Guidelines for Enabling Activities of the Stockholm Convention on Persistent Organic Pollutants*, approves the initial guidelines as an early response for assisting developing countries and countries with economies in transition to implement measures to fulfill their obligations under the Convention. The Council agrees to the country eligibility criteria, the eligible activities and their sequencing, and the expedited procedures for processing proposals for GEF assistance. The Council requests the GEF Secretariat to undertake efforts to inform recipient countries of the availability of this assistance, including through the appropriate dissemination of relevant information at the Diplomatic Conference that will be held in Stockholm in May 2001 for the adoption of the Convention.

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## I. INTRODUCTION AND SUMMARY

1. The 5<sup>th</sup> session of the Intergovernmental Negotiating Committee (INC) for an “International Legally Binding Instrument for Implementing International Action on certain Persistent Organic Pollutants” (POPs) met from December 4-9, 2000, in Johannesburg, South Africa, and concluded negotiations for a POPs Convention. The objective of the Convention is to protect human health and the environment from POPs. It will be adopted and opened for signature at a Conference of Plenipotentiaries scheduled for May 22-23, 2001, in Stockholm.

2. Article 14 of the Convention designates the Global Environment Facility (GEF), on an interim basis and until the Conference of the Parties decides otherwise, as the “principal entity entrusted with the operations of the financial mechanism.” The GEF Council, at its 16<sup>th</sup> Session in November 2000, decided that “should the GEF be the financial mechanism for the legal agreement it would be willing to initiate early action with regard to the proposed enabling activities with existing resources.” These initial guidelines represent an early response by the GEF to assist eligible developing countries to implement the Convention. The main focus of the GEF’s assistance at this initial stage is the preparation of National Implementation Plans (NIPs) for the Convention and first reporting obligations. This type of support is referred to in the GEF as “enabling activities.”

3. The guidelines were developed by the GEF Secretariat in consultation with the GEF POPs Task Force comprising the three Implementing Agencies of the GEF -- The World Bank, the United Nations Development Programme (UNDP) and the United Nations Environment Programme UNEP), the Food and Agriculture Organization of the United Nations (FAO), the United Nations Industrial Development Organization (UNIDO), and UNEP Chemicals as the interim Secretariat of the Convention. They are initial guidelines that will be revised, as needed, taking into account the decisions of the Conference of the Parties (COP) to the Convention.

4. This paper describes: (a) Country eligibility criteria; (b) Eligible activities and sequencing; and (c) Expedited procedures for processing proposals for GEF assistance.

5. A summary of the provisions of the Convention as well as a framework that can be followed by countries to develop NIPs are presented in Annexes A and B.

## II. BACKGROUND AND CONTEXT

### **Persistent Organic Pollutants**

6. For the past 40 years, awareness has been growing about the threats posed to human health and the global environment by the ever-increasing release in the natural environment of synthesized chemicals. Mounting evidence of damage to human health and the environment has focused the attention of the international community on a category of substances referred to as Persistent Organic Pollutants (POPs). Some of these substances are pesticides, while others are industrial chemicals or unwanted by-products of industrial processes or combustion. POPs are

characterized by *persistence* – the ability to resist degradation in various media (air, water, sediments, and organisms) for months and even decades; *bio-accumulation* - the ability to accumulate in living tissues at levels higher than those in the surrounding environment; and *potential for long range transport* – the potential to travel great distances from the source of release through various media (air, water, and migratory species).

7. Specific effects of POPs can include cancer, allergies and hypersensitivity, damage to the central and peripheral nervous systems, reproductive disorders, and disruption of the immune system. Some POPs are also considered to be endocrine disrupters, which, by altering the hormonal system, can damage the reproductive and immune systems of exposed individuals as well as their offspring.

8. In addition, POPs concentrate in living organisms through a process called bio-accumulation. Though not soluble in water, POPs are readily absorbed in fatty tissue, where concentrations can become magnified by up to 70,000 times the background levels. Fish, predatory birds, mammals, and humans are high up the food chain and absorb the greatest concentrations.

9. The realization of these threats led a number of countries to introduce policies and legal and regulatory instruments to manage an increasing number of these substances. However, because of POPs persistence and propensity to undergo transboundary movement, countries began to seek bi-lateral and regional multinational cooperative actions<sup>1</sup>.

10. By the early 1990s, it was noted that reductions in environmental levels of POPs were not being achieved as anticipated, and that further reductions could only be expected following actions undertaken on a much wider geographic scale than had been attempted. The POPs protocol to the UN Economic Commission for Europe – Convention on Long-range Transboundary Air Pollution – adopted in 1998 and the 1995 “Global Programme of Action for the Protection of the Marine Environment from Land-based Activities” were responses to this situation. Recognizing the possible need for global action, the UNEP Governing Council in its Decision 18/32 (May 1995) invited recommendations and information on international action from the Inter-Organizational Program for the Sound Management of Chemicals (IOMC), the International Program on Chemical Safety (IPCS), and the Inter-Governmental Forum on Chemical Safety (IFCS), including any information needed for possible decision on appropriate international legal mechanism on POPs. IFCS concluded that there was sufficient scientific evidence for immediate action on 12 POPs<sup>2</sup>, including a legally binding global instrument. The

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<sup>1</sup> Examples include: the 1992 “Convention for the Protection of the Marine Environment of the North East Atlantic”; the 1974 “Convention for the Protection of the Baltic”; the 1972 “Great Lakes Water Quality Agreement” between Canada and the United States; agreements and protocols in support of the Regional Seas Programmes of the United Nations Environment Programme such as the Barcelona Convention (for the Mediterranean Sea); and the Cartagena Convention for the Protection and Development of the Wider Caribbean Region.

<sup>2</sup> The 12 POPs are: (a) Pesticides – aldrin, chlordane, DDT, dieldrin, endrin, heptachlor, hexachlorobenzene (also an industrial chemical and unintended by-product), mirex and toxaphene; (b) Industrial chemicals – PCBs (unintended by-products); and (c) unintended byproducts – dioxins and furans.

UNEP Governing Council subsequently requested (Decision 19/13) the Executive Director of UNEP, together with relevant international organizations, to convene an intergovernmental negotiating committee (INC) to prepare an international legally binding instrument for implementing international action on the 12 POPs. The Governing Council also requested UNEP to initiate immediate action on other recommendations of IFCS such as the: (a) development and sharing of information; (b) evaluation and monitoring of the success of implemented strategies; (c) alternatives to POPs; (d) identification and inventories of PCBs; (e) available destruction capacity; and (f) identification of sources of dioxins and furans and aspects of their management.

### **The Role of the GEF**

11. The involvement of the GEF in addressing global contaminants dates back to 1996 when the GEF Operational Strategy and Contaminant-Based Operational Program (OP#10), in the International Waters focal area, were adopted. The strategic focus of the GEF's assistance to countries includes supporting activities that demonstrate ways of overcoming barriers to the adoption of best practices which limit contamination of international waters by persistent toxic substances (PTS), including POPs, heavy metals, and organo-metallic compounds.

12. In response to a finding of the *GEF Overall Performance Evaluation* that called for an increased effort in this field, the GEF, from March 1998-April 1999, defined near-term activities aimed at enhancing the GEF's catalytic role. The objectives set forth in the program were rapidly met and a portfolio of strategically designed projects was developed under OP#10. It includes demonstrations of ways to build the capacity of client countries to reduce/eliminate the use/production of POPs in agriculture and in the control of vector diseases.

13. Another effort, the "Regionally Based Assessment of Persistent Toxic Substances (PTS)" project, addresses the complexities, possible risks, and ecological/human health implications of the broader range of PTS. This project will provide within two years a better understanding of the overall dimensions of the threats posed by PTS, well beyond the 12 substances initially considered for international action. A number of other projects addressing land-based sources of pollution, while not focused on POPs/PTS, have a POPs/PTS component.

14. The GEF Council, at its 16<sup>th</sup> session in November 2000, encouraged the Implementing and Executing Agencies and the GEF Secretariat to facilitate early action on the implementation of the POPs Convention and took note of the paper "Draft Elements of an Operational Program for Reducing and Eliminating Releases of Persistent Organic Pollutants into the Environment" (GEF/C.16/6). This paper defines two categories of GEF assistance to countries:

- (a) development and strengthening of capacity aimed at enabling the recipient country to fulfill its obligations under the POPs Convention. These country-specific *enabling activities* will be eligible for full funding of agreed costs; and

- (b) on-the-ground interventions aimed at implementing specific phase-out and remediation measures at national and/or regional levels, including targeted capacity building and investments. This second category of GEF interventions will be eligible for GEF incremental costs funding.

15. The guidelines outlined in this paper address interventions described under (a). They are aimed at providing countries with information on eligibility criteria (for both countries and activities), a systematic and participatory approach to the implementation of enabling activities, and funding application and approval procedures.

16. Operational guidelines for on-the-ground interventions (b), based on elements of the paper presented to the GEF Council in November 2000 (GEF/C.16/6), are under development.

### III. GLOBAL AND REGIONAL CHEMICALS RELATED AGREEMENTS

17. The Convention on POPs is a major achievement that is complemented by a number of other chemicals-related global or regional Conventions, Agreements, and Action Plans, primarily the Basel “Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal,” and the Rotterdam “Convention on the Prior Informed Consent (PIC) Procedure for Certain Hazardous Chemicals and Pesticides in International Trade,”

18. Global treaties are often translated into regional specialized agreements, action plans, and declarations. Examples are the Bamako “Convention on the Ban of the Import into Africa and the Control of Transboundary Movement and Management of Hazardous Wastes Within Africa”, and the Waigani “Convention to Ban the Importation into Forum Island Countries of Hazardous and Radioactive Wastes and to Control the Transboundary Movement and Management of Hazardous Wastes Within the South Pacific Region,” inter alia. The recent Bahia “Declaration on Chemical Safety” of the Intergovernmental Forum on Chemical Safety (IFCS) also reaffirms government’s commitment to the promotion of sound chemical management.

19. To the extent that the capacity building needs of countries in their efforts to reduce/eliminate POPs will often address more general chemicals management issues, the GEF, in supporting the POPs Convention, will strengthen the above-mentioned processes related to chemical safety. The GEF would thus catalyze a collective and coordinated response from countries to these global and regional agreements.

#### **Guidelines for Enabling Activities**

##### *Definition*

20. Enabling activities, as defined in the GEF Operational Strategy, represent a basic building block of GEF assistance to countries. They are a means of fulfilling essential communication requirements to a Convention, providing a basic and essential level of information to enable policy and strategic decisions to be made, or assisting planning that identifies priority activities

within a country. Countries thus enabled will have the ability to formulate and direct sectoral and economy-wide programs to address global environmental problems through cost-effective approaches within the context of national sustainable development efforts. Country-driven enabling activities will normally qualify for full agreed costs funding from the GEF when they are directly related to global environmental benefits and/or consistent with the guidance of a Convention.

#### IV. GEF ASSISTANCE FOR ENABLING ACTIVITIES IN THE CONTEXT OF THE STOCKHOLM CONVENTION

##### **Country Eligibility**

21. In the interim period, developing countries and countries with economies in transition signatory to the Convention will be eligible for funding for enabling activities. After entry into force of the Convention, the COP would provide guidance on eligibility criteria.

##### **Components of GEF Assistance**

22. The GEF's initial assistance will have two main components. The first component will cover the *Preparation of a National Implementation Plan (NIP)* in each eligible country. The second component, *Capacity Building Support for Enabling Activities*, will provide assistance to strengthen the ability of countries to implement a systematic and participatory process for the preparation of the NIPs.

##### **Preparation of National Implementation Plans**

23. The Convention requires (Article 7) countries to prepare NIPs, within two years from its entry into force that set priorities for initiating future activities to protect human health and the environment from POPs. The NIP will provide a framework for a country to develop and implement, in a systematic and participatory way, priority policy and regulatory reform, capacity building, and investment programs. The GEF will provide up to \$500,000 per country, under GEF's expedited approval and disbursement procedures (see para. 4), for the preparation of NIPs<sup>3</sup>.

24. The Convention text specifically identifies the following actions that may be undertaken within the context of a NIP:

25. Undertake preliminary inventories of sources and emissions of POPs listed in Annexes A and B to the Convention.

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<sup>3</sup> If the needs of a country for the preparation of its NIP exceed this amount, normal GEF processing rules for full projects will apply.

- (a) prepare an Action Plan for the reduction of releases of unintentional by-products<sup>4</sup>;
- (b) where appropriate, prepare an Action Plan to control the use of DDT for disease vector control<sup>5</sup>;
- (c) build capacity to report every five years on progress in phasing out PCBs as described in Annex I part II of the Convention;
- (d) prepare a preliminary assessment of stockpiles of POPs and of waste products contaminated with POPs, and identify management options, including opportunities for disposal;
- (e) build capacity to report to the COP on total production, import and export, as per Article 15 of the Convention;
- (f) build capacity to assess the need of continuation of specific exemptions and preparation of their reporting/extension;
- (g) build capacity to identify sites contaminated by POPs; and
- (h) support communication, information exchange, and awareness raising through multi-stakeholder participatory processes, as described in Article 9 and 10.

26. In developing their NIPs, countries may wish to follow, and amend as appropriate to national circumstances, the step-wise process presented in Annex B, and summarized below. This process for NIP development has been prepared by an expert group and reviewed in four regional workshops<sup>6</sup>. It covers the following four main groups of activities:

*Step 1: Determination of coordinating mechanisms and organization of process*

- (i) identification and strengthening of national institution/unit to serve as Focal Point;

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<sup>4</sup> This Action Plan should be transmitted to the COP within two years of entry into force of the Convention for that Party. Article 5 of the Convention outlines some of the elements that should be included in these plans such as an inventory of current and projected releases, an assessment of enforcement capacity and adequacy of laws and policies to meet the obligations of by-products reduction of the Convention, and strategies to meet these obligations.

<sup>5</sup> Annex II, part II, of the Convention requires Parties to report every three years on the amount used, and describes what such plan should cover, including plans for strengthening of regulatory controls and measures to strengthen health care.

<sup>6</sup> These workshops were held during the preparation of the GEF-supported project Development of National Implementation Plans for POPs– implemented by UNEP in collaboration with UNITAR/FAO/WHO/World Bank/WWF (GEF allocation: \$4.94M). This project, which is being submitted to the GEF Council for approval, will assist 12 selected countries representative of different geographic and socio-economic conditions to develop their NIPs. Experience gained from the project will be shared with other countries.

- (ii) determination of multi-stakeholder national coordinating committee based on a stakeholder analysis; and
- (iii) identifying and assigning responsibilities among government departments and other stakeholders for the various aspects of POPs management.

*Step 2: Establishment of POPs inventory and assessment of national infrastructure and capacity*

- (i) preparation of a National Profile (or core sections thereof as they relate more specifically to POPs) followed by the establishment of a register (Pollutant Release and Transfer Register, or equivalent), in order to create and maintain a reliable inventory;
- (ii) preliminary inventory of production, distribution, use, import and export;
- (iii) Preliminary inventory of stocks and contaminated sites and products; assessment of opportunities for disposal of obsolete stocks;
- (iv) preliminary inventory of releases to the environment;
- (v) assessment of infrastructure capacity and institutions to manage POPs, including regulatory controls, and chemical analytical reference laboratories; needs and options for strengthening them;
- (vi) assessment of enforcement capacity to ensure compliance;
- (vii) assessment of social and economic implications of POPs use and reduction; including the need for the enhancement of local commercial infrastructure for distributing benign alternative technologies/products;
- (viii) assessment of monitoring and research and development, and chemical analytical capacity; and
- (ix) identification of POPs-related human health and environmental issues of concern; basic risk assessment as a basis for prioritization of further action taking into account, inter alia, potential releases to the environment and size of exposed population.

*Step 3: Setting of priorities and determination of objectives*

- (i) development of criteria for prioritisation, taking into account health, environmental, and socio-economic impact and the availability of alternative solutions; and
- (ii) determination of national objectives in relation to priority POPs or issues.

*Step 4: Formulation of a National Implementation Plan, and specific Action Plans on POPs*

- (i) identification of management options, including phasing out and risk reduction options;
- (ii) determination of the need for the introduction of technologies, including technology transfer; possibilities of developing indigenous alternatives; and
- (iii) assessment of the costs and benefits of management options;
- (iv) development of a national strategy for information exchange<sup>7</sup>, education, communication and awareness raising, taking into account risk perception of POPs by the public; and
- (v) preparation of a draft NIP which may include priorities and proposed sequencing of implementation, estimated total cost of proposed activities, including incremental costs where applicable.

*Step 5: Endorsement of NIP by stakeholders*

- (i) submission of a draft NIP to stakeholders for comments through workshops, dissemination of information, etc., to obtain the commitment of stakeholders, including decision-makers, to implement the NIP; and
- (ii) finalization of the NIP.

V. CAPACITY BUILDING SUPPORT FOR ENABLING ACTIVITIES

27. The Capacity Building Support for Enabling Activities component is aimed at enhancing the technical ability of countries to prepare their NIPs in a systematic and participatory manner. It will have the following four main elements – (a) familiarization workshops, at the regional or sub-regional levels, on the application of the Initial GEF Guidelines for Enabling Activities; (b) assessment of capacity building priorities that need to be addressed to enhance the ability of countries to effectively prepare their NIPs; (c) specialized training, based on country-driven needs and directly related to enabling activities, through regional or sub-regional workshops, courses, etc.; and (d) mechanisms to facilitate exchange of information and experiences among countries undertaking enabling activities.

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<sup>7</sup> Information exchange on alternatives and reduction/elimination options is crucial to the long-term success of the Convention. Article 9 makes provision for a clearinghouse mechanism entrusted to the Secretariat of the Convention, and to Parties' obligation to designate a Focal Point to facilitate this exchange. It is suggested that in the interim, and before the clearinghouse mechanism is fully operational, support should be given to strengthen client countries' capacity in information exchange. This should be wide ranging, and should cover information between parties as well as information within a country. The focal point should have the capacity to assess information that it receives, and to dispatch it to the relevant actors in country. It should also be in a position to assess what information within a country that may need to be circulated.

28. Further elaboration of this component, which will be based on country-driven needs, will be developed by the GEF Secretariat in close cooperation with the GEF Implementing Agencies, Executing Agencies, and the Interim Convention Secretariat.

29. In addition to the above support, the GEF will assist countries to meet future capacity building needs through the framework for GEF Action for Capacity Building. The framework was developed through the Capacity Development Initiative (CDI) which was launched in January 2000. The CDI was an 18-month consultative process of outreach and dialogue aimed at assisting countries to identify priority capacity development needs and to develop strategies and action plans to address them. The proposed Framework for GEF Action presents two new pathways to deliver GEF assistance for capacity building, including capacity necessary to address land degradation.<sup>8</sup>

### **Expedited Procedures for Processing Proposals for GEF Assistance**

30. The GEF will fund 100 percent of the agreed cost of enabling activities. Enabling activity funding proposals should be consistent with the GEF's operational principles, including the following:

- (a) country drivenness: A proposal must include a letter of endorsement from a country's GEF Operational Focal Point;
- (b) proposals should build on existing knowledge and activities;
- (c) GEF resources should be used efficiently; and
- (d) local and regional expertise should be used wherever possible.

31. A GEF Implementing Agency or Executing Agency, selected by a country, will provide assistance for the development and implementation of enabling activities, including submitting the funding proposal to the GEF Secretariat on its behalf<sup>9</sup>. See Annex C for a format for the fund application under expedited procedures.

32. A typical enabling activity proposal is expected to have a total cost not exceeding \$500,000. Because of the GEF's commitment to efficient and timely delivery of assistance to countries, proposals of this size will be reviewed and approved using expedited procedures. Under these procedures, the Chairman and Chief Executive Officer of the GEF approves proposals not exceeding \$500,000.

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<sup>8</sup> *Elements of Strategic Collaboration and a Framework for GEF Action for Capacity Building for the Global Environment* (GEF/C.17/6).

<sup>9</sup> GEF Implementing/Executing Agencies -- World Bank, UNDP, UNEP, FAO, UNIDO, and regional development banks (Asian Development Bank, African Development Bank, Inter-American Development Bank, and European Bank for Reconstruction and Development).

33. The GEF recognizes that there may be national circumstances that require support exceeding \$500,000, and such a request will be considered under the normal GEF project cycle<sup>10</sup>.

34. The GEF will facilitate quick disbursement of approved funds to countries, including releasing immediately 15 percent of the funds for start-up activities. The remaining funds will be disbursed according to a schedule agreed to by the country and the GEF agency.

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<sup>10</sup> For more information, see “GEF Project Cycle” (GEF/06/Inf.7).

## ANNEX A

### SUMMARY OF THE PROVISIONS OF THE STOCKHOLM CONVENTION ON POPs

35. The objective of the Stockholm Convention on Persistent Organic Pollutants (POPs) is to protect human health and the environment from POPs. The Convention is global in scope and multimedia in coverage. It focuses initially on twelve chemicals that can be grouped into the following three categories:

- Pesticides—aldrin, chlordane, DDT, dieldrin, endrin, heptachlor, hexachlorobenzene (also an industrial chemical and unintended byproduct), mirex and toxaphene;
- Industrial chemicals – PCBs (also unintended by-products); and
- Unintended by-products – dioxins and furans.

36. Parties are obligated to take measures to reduce or eliminate releases of the POPs covered by the Convention, namely:

- Eliminate the production and use of POPs listed in Annex A to the Convention (aldrin, chlordane, dieldrin, endrin, heptachlor, hexachlorobenzene, mirex and toxaphene) with an exception for PCBs in use and certain limited exemptions;
- Restrict to certain acceptable purposes the production and use of POPs listed in Annex B to the Convention -- DDT for disease vector control in accordance with WHO guidance -- with certain other limited exemptions;
- Restrict export of POPs listed in Annex A and B: (i) to Parties that have a specific exemption or allowable purpose, (ii) to non-Parties whose compliance with relevant provisions of the Convention is certified, or (iii) for the purpose of environmentally sound disposal;
- Ensure that PCBs are managed in an environmentally sound manner and by the year 2025 take action to remove from use PCBs found above certain thresholds;
- Ensure, where countries have registered to do so, that use of DDT is restricted to vector control use according to WHO guidance and report on amounts of the chemical used;
- Develop and implement an action plan to identify sources and reduce releases of POPs byproducts listed in Annex C, including the development and maintenance of source inventories and release estimates, and promote measures including the use of best available techniques and best environmental practices; and

- Develop strategies for identifying stockpiles of POPs listed in Annexes A and B, and products containing POPs listed in Annexes A, B and C, and take measures to ensure that POPs wastes are managed and disposed of in an environmentally sound manner. according to international standards and guidelines (e.g., the Basel Convention on the Control of Transboundary Movement of Hazardous Wastes and their Disposal), and endeavor to identify POPs contaminated sites for possible remediation.

37. The Convention includes an important procedure for adding additional POPs for coverage in order to respond to new threats that maybe identified in the future.

38. General provisions contained in the Convention include Party obligations to:

- Develop and endeavor to implement a plan for the implementation of their obligations under the Convention within two years of its entry into force;
- Report to the Conference of the Parties on measures taken to implement the Convention;
- Facilitate and undertake information exchange on POPs including the establishment of a national focal point for this purpose;
- Facilitate and promote awareness, education, and the provision of information to the public, particularly for decision-makers and effected groups; and
- Encourage and undertake research, development and monitoring of POPs and their alternatives, and support international efforts along these lines.

39. It is recognized that many Parties will need technical and financial assistance in order to implement all the above provisions. For this reason, the Convention mandates:

- Cooperation to provide technical assistance to strengthen Parties, particularly developing countries and countries with economy in transition, to help them develop and strengthen their capacity to implement the Convention;
- The provision of new and additional resources from developed countries to developing countries and countries with economy in transition, Parties to the Convention, to help them develop and strengthen their capacity to implement the Convention; and establishment of a financial mechanism to be defined by the COP to provide/facilitate the delivery of these resources; and

- The establishment of interim financial arrangements (that is until COP defines the permanent mechanism) -- the principal entity of which is to be the Global Environment Facility which is to fulfill this function through operational measures related specifically to POPs.

40. UNEP is to provide the secretariat for the Stockholm Convention on POPs, including its bodies.

ANNEX B

RECOMMENDED SEQUENCE OF ACTIVITIES  
FRAMEWORK FOR DEVELOPING NATIONAL IMPLEMENTATION PLANS

| <b>Step 1</b>  | <b>Determining Co-ordinating Mechanism and Organizing Process</b>  |  |                             |
|--|--|--|-----------------------------|
| <i>KEY ACTIVITIES/ ISSUES</i>  | <b>Output/Results</b>  | <b>Possible Assistance Needs</b>   | <b>Indicative Timeframe</b> |
| <ul style="list-style-type: none"> <li>• Identification and strengthening of national institution/unit to serve as Focal Point;</li> <li>• Identification and sensitization of main stakeholders;</li> <li>• Strengthening government commitment;</li> <li>• Determination of multi-stakeholder national co-ordinating committee;</li> <li>• Identifying and assigning responsibilities amongst government departments and other stakeholders for the various aspects of POPs management;</li> <li>• Obtaining commitment of national stakeholders (for example by means of Memorandum of Understanding);</li> <li>• Assessment of needs of Focal Point to oversee overall execution (technical, human resources, etc.);</li> <li>• Drawing-up overall workplan;</li> <li>• Organisation of inception workshop.</li> </ul> | <ul style="list-style-type: none"> <li>• Focal Point to oversee overall execution;</li> <li>• National co-ordinating mechanism amongst stakeholders is identified / established;</li> <li>• Agreement, including mission statement, amongst national stakeholders is developed;</li> <li>• Agreed Focal Point needs and budget;</li> <li>• Overall workplan and timeframe for country activities.</li> </ul> | <ul style="list-style-type: none"> <li>• Implementation manual and/or guidance for overall implementation, including expected country deliverables/ output;</li> </ul> | <p>2 to 3 months</p>        |

| <b>Step 1</b>                 |  | <b>Determining Co-ordinating Mechanism and Organizing Process</b> |                                  |                             |
|-------------------------------|--|---|----------------------------------|-----------------------------|
| <i>KEY ACTIVITIES/ ISSUES</i> |  | <b>Output/Results</b>   | <b>Possible Assistance Needs</b> | <b>Indicative Timeframe</b> |
| <b>Comments Step 1</b>        | <ul style="list-style-type: none"> <li>• Wherever possible, use should be made of existing committees/structures for overseeing NIP development; the creation of new coordinating structures should be avoided.</li> <li>• External consultants may be recruited to provide technical assistance, if needed. Priority should be given to local and regional consultants.</li> <li>• Awareness raising activities and effective communication at the country level, whether directed to decision-makers or the public at large, should be on-going activities which are important for steps 1 through 5 and further.</li> </ul> |   |                                  |                             |

| <b>Step 2</b>  | <b>Establishing a POPs Inventory and Assessing National Infrastructure and Capacity</b>   |   |                             |
|--|---|---|-----------------------------|
| <i>KEY ACTIVITIES/ ISSUES</i>  | <b>Output/Results</b>   | <b>Possible Assistance Needs</b>  | <b>Indicative Timeframe</b> |
| <ul style="list-style-type: none"> <li>• Preparation of National Profile (or core sections thereof as they relate more specifically to POPs);</li> <li>• Constitution of task teams responsible for inventories;</li> <li>• Training on inventory procedures;</li> <li>• Preliminary inventory of production, distribution, use, import and export;</li> <li>• Preliminary inventory of stocks and contaminated sites; assessment of opportunities for disposal of obsolete stocks;</li> <li>• Preliminary inventory of releases to the environment;</li> <li>• External independent review of initial national POPs inventories;</li> <li>• Assessment of infrastructure capacity and institutions to manage POPs, including regulatory controls; needs and options for strengthening them;</li> <li>• Assessment of enforcement capacity to ensure compliance;</li> <li>• Assessment of social and economic implications of POPs use and reduction; including the need for the enhancement of local commercial infrastructure for distributing benign alternative</li> </ul> | <ul style="list-style-type: none"> <li>• National profile (or core sections thereof);</li> <li>• Initial national POPs inventory;</li> <li>• Report on human health and environmental concerns related to POPs;</li> <li>• Assessment report of national POPs management infrastructure.</li> </ul> | <ul style="list-style-type: none"> <li>• Guidance for preparation of National Profile;</li> <li>• Guidance for development of initial national POPs inventory. Specific guidance needed for each category of POPs including as a minimum detailed guidance on: <ul style="list-style-type: none"> <li>- reporting format</li> <li>- identifying POPs sources</li> <li>- estimation techniques</li> </ul> </li> <li>• Technical assistance;</li> <li>• Provision of computer equipment, software etc;</li> <li>• Experts to carry out review of inventory;</li> <li>• Training.</li> </ul> | 5 to 10 months              |

|  |   |  |  |
|--|---|--|--|
| <p>technologies/products;</p> <ul style="list-style-type: none"> <li>• Assessment of monitoring and R&amp;D capacity;</li> <li>• Identification of POPs related human health and environmental issues of concern; basic risk assessment as a basis for prioritisation of further action taking into account, <i>inter alia</i>, potential releases to the environment and size of exposed population.</li> </ul> |   |  |  |
| <p><b>Comments Step 2</b></p>  | <ul style="list-style-type: none"> <li>• Countries which have not prepared a National Profile are encouraged to do so (using UNITAR/IOMC guidance). Focus should be on those sections of National Profile which are of particular relevance to POPs.</li> <li>• An inventory is an iterative process: the inventory should be a “living document”. In this initial capacity building stage, the inventory should be detailed enough to allow further prioritisation. The task of developing a detailed inventory would be part of an implementation plan for a particular POP or family of POPs that warrants it.</li> <li>• For the development of the POPs inventory, use should be made of existing materials, e.g. dioxin toolkit (UNEP), guidance on PCB and PCT containing materials (SBC), PRTR documents on estimating point and non-point emissions (UNITAR), obsolete pesticides (FAO, GTZ). Further guidance will be developed and made available through the UNEP/GEF pilot project on development of NIPs.</li> <li>• The Table of Contents of a POPs Inventory could follow, with some adjustments, the structure set out in the UNEP Chemicals document titled “Dioxin and Furan Inventories – National and Regional Emissions of PCDD/PCDF”.</li> </ul> |  |  |

| <b>Step 3</b>  |   | <b>Priority Setting and Determining Objectives</b>  |   |                             |
|--|---|---|---|-----------------------------|
| <i>KEY ACTIVITIES/ ISSUES</i>  |   | <b>Output/Results</b>   | <b>Possible Assistance Needs</b>  | <b>Indicative Timeframe</b> |
| <ul style="list-style-type: none"> <li>• Development of criteria for prioritisation, taking into account health, environmental and socio-economic impact and the availability of alternative solutions;</li> <li>• Determination of national objectives in relation to priority POPs or issues (could be general and/or specific objectives);</li> <li>• Organization of national priority validation workshop.</li> </ul> |   | <ul style="list-style-type: none"> <li>• List of prioritisation criteria;</li> <li>• Objectives with regard to priority POPs management.</li> </ul> | <ul style="list-style-type: none"> <li>• Guidance on priority setting methodologies.</li> </ul> | 4 to 6 months               |
| <b>Comments Step 3</b>   | <ul style="list-style-type: none"> <li>• Review relevance of UNITAR document on risk reduction strategies.</li> <li>• Review priority setting documents developed in other countries, e.g. by Environment Canada.</li> <li>• Priority setting amongst POPs/issues could include the consideration of: <ul style="list-style-type: none"> <li>- priorities defined in national environmental action plans;</li> <li>- findings of the National Profile;</li> <li>- known amounts of stockpiles;</li> <li>- wastes/residues at sites that were not well-managed;</li> <li>- areas of special environmental interest that may be affected by POPs;</li> <li>- economically feasible management options.</li> </ul> </li> </ul> |   |   |                             |

| <b>Step 4</b>  | <b>Formulating a National Implementation Plan, and specific Action Plans on POPs</b>   |  |                             |
|--|--|--|-----------------------------|
| <i>KEY ACTIVITIES/ ISSUES</i>  | <b>Output/Results</b>  | <b>Possible Assistance Needs</b>   | <b>Indicative Timeframe</b> |
| <ul style="list-style-type: none"> <li>• Assign mandates to task teams to develop proposals for addressing priorities;</li> <li>• Identification of management options, including phasing out and risk reduction options;</li> <li>• Need for introduction of technologies, including technology transfer; possibilities of developing indigenous alternatives;</li> <li>• Assessment of the costs and benefits of management options;</li> <li>• Defining expected results and targets;</li> <li>• Development of a detailed implementation plan, including an action plan for unintentional by-products, PCBs and, where appropriate, for DDT and other POPs as prioritised;</li> <li>• Expert review of Implementation Plan;</li> <li>• Preparation of initial funding request package for implementation, including cost estimates and incremental costs;</li> <li>• Development of a national strategy for information exchange, education, communication and awareness raising, taking into account risk perception of POPs by the public, particularly the least educated.</li> </ul> | <ul style="list-style-type: none"> <li>• Report on management options including priority setting;</li> <li>• Detailed implementation plan;</li> <li>• Cost estimates of implementation;</li> <li>• Funding request package.</li> </ul> | <ul style="list-style-type: none"> <li>• Information on management options (from UNEP, UNITAR and others);</li> <li>• Information on alternative methods and technologies;</li> <li>• Methodological guidance and training on planning methodologies (e.g. ZOPP) to facilitate the development of effective implementation plans.</li> <li>• Training on assessment of management options, cost/benefits etc.</li> </ul> | 5 to 9 months               |

- Comments**
- Step 4**
- Wherever possible, use should be made of existing committees/groups for formulating detailed action plans.
  - In order to be in a position to successfully develop the NIP, the following are considered key elements/conditions:
    - Availability of quality data to make informed decisions;
    - Commitment and political will to address the issue;
    - Commitment and meaningful participation of stakeholders, in particular industry at the national and international level;
    - A good understanding of technological options available and resources necessary to make use of these;
    - Human resources and financial means to effectively implement and enforce the NIP.
  - Responsibilities for developing POPs specific action plans should be shared amongst main concerned national parties, including government agencies, industry, research institutions, etc.
  - The following elements may be critical to the success of a POPs specific action plan:
    - Ensuring participation of local authorities in enforcement measures;
    - Awareness raising of the general public in particular in relation to the role they could play in addressing POPs problems.
  - NIP implementation may include some of the following activities:
    - Development of a more detailed POPs inventory;
    - Drafting of new legislation/regulation;
    - Strengthening of compliance and enforcement of existing regulation;
    - Identification of specific eco-systems or populations at risk;
    - Evaluation and introduction of POPs alternatives;
    - Implementation of awareness-raising and education activities and establishment of mechanisms to involve local populations in the implementation of the plans;
    - Training and capacity building activities on various issues such as sound management practices of POPs, POPs alternatives, conducting environmental impact assessment, effective legislation and regulation, good storage and management practices, risk assessment and risk management, etc;
    - Technology transfer activities;
    - Development of a national waste management strategy;
    - Monitoring, site auditing and other activities to ensure compliance and enforcement of regulations;
    - Development of safe disposal plans for existing stocks of POPs.
  - Some issues, e.g. illegal POPs trade would require coordinated action amongst several neighbouring countries.

| <b>Step 5</b>   | <b>Endorsement of NIP by Stakeholders</b>  |   |  |
|---|--|---|--|
| <i>KEY ACTIVITIES/ ISSUES</i>   | <b>Output/Results</b>  | <b>Possible Assistance Needs</b>  | <b>Indicative Timeframe</b>  |
| <ul style="list-style-type: none"> <li>• Prepare an information document/report to be submitted to stakeholders for comments;</li> <li>• Lobbying high Government officials;</li> <li>• Organise workshops and circulate information to obtain commitment of stakeholders and decision-makers, including resources commitment.</li> </ul> | <ul style="list-style-type: none"> <li>• Endorsement by national stakeholders at highest possible level;</li> <li>• Commitment in terms of active participation;</li> <li>• Commitment in terms of allocation of resources (staff, material, funds etc.).</li> </ul> | <p>Organization of donor and private sector information and pledging workshops.</p> | <p>2 months</p> <p>All activities should be completed within 24 months</p> |

ANNEX C

GEF ENABLING ACTIVITIES OUTLINE OF A PROPOSAL UNDER EXPEDITED PROCEDURES

| PROJECT IDENTIFIERS  |   |
|--|---|
| 1. Project Number:   | 3. GEF Implementing Agency/Executing Agency:  |
| 2. Project Name:   | 5. Country eligibility (a country is eligible if it has signed the Stockholm Convention): |
| 4. Country   |   |
| 6. Name of GEF national operational focal point and date the endorsement letter was signed (attach a copy of the letter):                                    |   |
| SUMMARY OF PROJECT OBJECTIVES, ACTIVITIES, AND EXPECTED OUTCOMES   |   |
| 7. Project objectives:   |   |
| 8. Project activities:   |   |
| 9. Project Duration:   |   |
| 10. Project expected outcomes:   |   |
| 11. Estimated total budget (in US\$ or local currency):  |   |
| 12. Amount being requested from the GEF (in US\$ or local currency):   |   |
| INFORMATION ON INSTITUTION SUBMITTING PROJECT BRIEF  |   |
| 13. Information on the organization in the country submitting the proposal:  |   |
| 14. Information on the proposed executing organization (if different from above. The grant has to be executed by an organization in the requesting country): |   |
| 15. Date the proposal was submitted to a GEF Implementing/Executing Agency:  |   |
| 16. Date the proposal was submitted to the GEF Secretariat:  |   |
| 17. Date the proposal was approved:  |   |
| 18. Date of first Disbursement   |   |
| INFORMATION TO BE COMPLETED BY IMPLEMENTING AGENCY:  |   |
| 19. Implementing/Executing Agency contact person:  |   |

## PROJECT DESCRIPTION

The main elements of the narrative section of an enabling activity proposal are listed below. The proposed enabling activities should be consistent with the GEF Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants.

### **Project objectives**

Description of proposed enabling activities, including the following where applicable, and the expected outcomes:

- (a) determination of coordinating mechanisms and organizing process;
- (b) establishment of POPs inventory and assessment of national infrastructure and capacity;
- (c) setting priorities and determination of objectives for POPs management;
- (d) formulation of a National Implementation Plan (NIP);
- (e) planned stakeholder involvement in the formulation of the NIP;
- (f) stakeholder identification;
- (g) information dissemination and consultation;
- (h) stakeholder participation; and
- (i) social and participation issues.

## IMPLEMENTATION PLAN

The implementation plan should indicate the time it will take to complete each major enabling activity.

### **Project Implementation Plan**

| DURATION OF PROJECT (IN MONTHS): |                |    |    |    |     |
|----------------------------------|----------------|----|----|----|-----|
| ACTIVITIES                       | PROJECT-MONTHS |    |    |    |     |
| Completion of major activities   | 6              | 12 | 18 | 24 | ... |
| 1.                               |                |    |    |    |     |
| 2...                             |                |    |    |    |     |

BUDGET

| <b>Component<sup>11</sup></b>  | <b>Number of Units</b> | <b>Unit Cost</b> | <b>Total Cost</b> |
|--|------------------------|------------------|-------------------|
| <b>1. Coordinating mechanism and organizing process</b>                |                        |                  |                   |
| Technical assistance (local)   |                        |                  |                   |
| Technical assistance (international)                                   |                        |                  |                   |
| Training   |                        |                  |                   |
| Workshops/meetings   |                        |                  |                   |
| Travel   |                        |                  |                   |
| Others (specify)   |                        |                  |                   |
| Sub-total  |                        |                  |                   |
| <b>2. Inventory and assessment of national infrastructure capacity</b> |                        |                  |                   |
| Technical assistance (local)   |                        |                  |                   |
| Technical assistance (International)                                   |                        |                  |                   |
| Training   |                        |                  |                   |
| Equipment  |                        |                  |                   |
| Workshops/meetings   |                        |                  |                   |
| Travel   |                        |                  |                   |
| Others (specify)   |                        |                  |                   |
| Sub-total  |                        |                  |                   |
| <b>3. Priority setting and formulation of NIP</b>                      |                        |                  |                   |
| Technical assistance (local)   |                        |                  |                   |
| Technical assistance (international)                                   |                        |                  |                   |
| Workshops/meetings   |                        |                  |                   |
| Travel   |                        |                  |                   |
| Others (specify)   |                        |                  |                   |
| Sub-total  |                        |                  |                   |
| <b>4. Stakeholder involvement</b>                                      |                        |                  |                   |
| Technical assistance (local)   |                        |                  |                   |
| Technical assistance (International)                                   |                        |                  |                   |
| Training   |                        |                  |                   |
| Workshops/meetings   |                        |                  |                   |
| Travel   |                        |                  |                   |
| Others (specify)   |                        |                  |                   |
| Sub-total  |                        |                  |                   |
| <i>Total Cost of Enabling Activities</i>                               |                        |                  |                   |

<sup>11</sup> Items listed in the table, which are indicative, represent the headings for the main budget items. Project proponents are expected to provide details on each specific item, for example, the type of technical assistance and person months requires equipment, or workshop should be indicated.