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The *UNDP-GEF*
POPs Resource Kit

United Nations Development Programme
Global Environment Facility
Persistent Organic Pollutants (POPs) Resource Kit

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Introduction

The Global Environment Facility (GEF) provides incremental funding to support the additional costs of protecting global environmental goods: biodiversity, climate stability, transboundary water resources and the ozone layer. Through its Implementing Agencies---the World Bank, the United Nations Development Programme (UNDP) and the United Nations Environment Programme (UNEP)---the GEF has catalyzed actions over the last ten years to protect these global amenities at the local, national, regional and international levels.

As one of the GEF Implementing Agencies, UNDP has leveraged its comparative advantage in the areas of capacity building and technical assistance to develop a comprehensive GEF portfolio in each of the four GEF focal areas: biodiversity, climate change, international waters, ozone layer depletion. UNDP's GEF portfolio presently totals over \$960 million and is operational in over 130 countries. UNDP has played a leading role in providing assistance to recipient countries in the conduct of their Biodiversity and Climate Change "Enabling Activities", aimed at helping countries fulfill their obligations under the respective Conventions; to date, UNDP has assisted 94 (82%) and 83 (64%) of the countries receiving GEF assistance in their Climate Change and Biodiversity Enabling Activities, respectively.

In recent years, the negative health and environmental effects of certain synthetic chemicals, characterized by their persistence, bio-accumulation and potential for long-range transport, has been firmly established. In December, 2000 in Johannesburg, the international community completed negotiations on a global Convention to phase out emissions and dispose of stocks of Persistent Organic Pollutants, or POPs. The *International Legally Binding Instrument for Implementing International Action on certain Persistent Organic Pollutants (POPs)* will be opened for signature in Stockholm, Sweden on May 22, 2001. The international community has selected the GEF to serve as interim financial mechanism for the Stockholm Convention and has asked the GEF to create a new POPs focal area.

The broad, multi-sectoral linkages between sustainable human development and POPs are well established (see section 3). Through its country office network, strong linkages with government and civil society, and extensive experience in several of the principal assistance areas of the POPs Convention (capacity building, institutional strengthening, technical assistance), UNDP can be a valuable partner to assist countries in their implementation of the Stockholm Convention. As the leading GEF Implementing Agency in supporting Climate Change and Biodiversity Enabling Activities, UNDP also has extensive relevant experience applicable and transferable to the POPs Enabling Activity process.



Purpose of this Document

The *UNDP-GEF POPs Resource Kit* has been prepared as a readily accessible source of information and useful contacts for POPs, the Stockholm Convention, the GEF and UNDP. The kit is designed for use by governments, UNDP Country Offices, NGOs and other constituencies interested in working with UNDP on POPs issues.

The Kit includes background papers on POPs, the Convention, and the linkages between POPs and sustainable human development. It contains information and materials to assist countries in preparing their POPs Enabling Activities, to support NGOs participating in the UNDP-GEF Small Grants Programme (SGP) to identify Small Grants projects which address POPs issues, and to help governments and partner organizations to identify and prepare Medium and Full-Sized GEF projects focusing on POPs phase-out and remediation. The Kit also contains a list of useful POPs web links. Governments interested in working with UNDP on their POPs Enabling Activities and Full/Medium Projects should contact UNDP Country Office Focal Points or Regional Coordinators (Section 5 a, b). NGOs interested in POPs Small Grants should contact their SGP National Coordinator (Section 5c).

Additional copies of the Kit are available; please contact:

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The kit can also be downloaded from the UNDP-GEF web site: www.undp.org/gef



Persistent Organic Pollutants and the Stockholm Convention

A. Introduction

The term “Persistent Organic Pollutants” or “POPs” is used to describe a class of toxic chemical substances that can harm human health and the environment.

POPs are long-lasting toxic substances that are produced and released into the environment by human activity. Some POPs are produced for use as pesticides; some are produced for use as industrial chemicals; and some are produced as unwanted byproducts of certain chemical and/or combustion processes.

Once POPs enter the environment, they last a long time. Today, POPs are widely found in the environment in all regions of the world. They contaminate food, they find their way into the human body, and they contribute to disease and to health deficits.

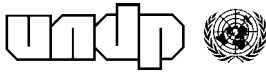
On May 23, 2001, a global, legally binding instrument called the Stockholm Convention on POPs will be adopted. The Convention preamble expresses awareness of *“health concerns, especially in developing countries, resulting from local exposure to POPs, in particular impacts on women and, through them, upon future generations.”* One hundred and twenty governments participated in the Intergovernmental Negotiating Committee that reached final agreement on the Stockholm Convention’s terms and provisions.

The Convention’s objective is to protect human health and the environment from POPs. Convention Parties will be required – once the Stockholm Convention enters force – to take actions to reduce or eliminate POPs releases, and often actions aimed at their ultimate elimination.

Countries, however, are encouraged not to wait until the Convention enters force to begin taking action. Resources have been made available through the Global Environment Facility (GEF) to assist countries in developing their program of Enabling Activities under the Stockholm Convention. This allows countries to start developing their plans, preparing their initial inventories, and building capacity in order to get ready to meet future Convention obligations. The Stockholm Convention will enter into force after fifty countries ratify it.

B. POPs Effects on Human Health and the Environment

Little was known about the harm to health and the environmental caused by POPs until the 1960’s. Now, however, scientists have developed a large body of evidence associating POPs with a range of injuries to human health and to the environment.



Scientists researching population declines in wildlife made the first important discoveries about the harm POPs cause. These scientists observed a range of health injuries in birds, fish and mammals, and they discovered that these injuries were associated with POPs in the environment. Predator species often suffered the greatest harm: species whose diet is largely meat and fish.

Wildlife species exposed to POPs in the environment may exhibit any of a number of different kinds of injury. These include:

- Reproductive failure and population declines;
- Abnormally functioning thyroids and other hormone system dysfunctions;
- Feminization of males and masculinization of females;
- Compromised immune systems;
- Behavioral abnormalities;
- Tumors and cancers; and
- Gross birth defects.

Many scientists noted that POPs also are widely present in human food. This raised the question: if POPs injure wildlife, do POPs also cause injury in humans?

When scientists and medical researches looked into this question, they determined that the answer is: “*Yes!*”

Scientists analyzed human tissue samples and human blood samples. They found that POPs and other man-made toxic chemicals are present in the bodies of people, everywhere.

Some groups of people are especially contaminated. These include farmers and workers who are exposed to POPs in their occupations. Subsistence hunters and fishers in some regions are also sometimes highly exposed.

Human exposure to POPs, however, is not limited to specific occupations or to certain regions. POPs can be found in the blood and in the tissues of the general human population in all parts of the world. As a result, POPs are now a legitimate and important cause for concern, everywhere.

Research on the ways POPs impact human health is continuing. More data is still needed documenting levels of POPs contamination in many countries. In addition, more health studies are needed to further explore and document the specific ways POPs harm human health under conditions in developing countries and under conditions in countries with tropical climates. Still, we already know a great deal about impacts of POPs on human health. Certainly, we know enough to justify urgent action now, to reduce and to eliminate the human exposure to these toxic chemical pollutants.

Good evidence associates human exposure to specific POPs or classes of POPs with health effects, including the following:

- Cancers and tumors at multiple sites;
- Neurobehavioral impairment including learning disorders, reduced performance on standard tests and changes in temperament;
- Immune system changes;
- Reproductive deficits and sex-linked disorders;
- Shortened period of lactation in nursing mothers; and
- Diseases such as endometriosis (a painful, chronic gynecological disorder in which uterine tissues grow outside the uterus), increased incidence of diabetes, and others.

The evidence suggests that women, infants, and children are especially vulnerable to certain effects of POPs.

Mothers transfer POPs from their own body, through the placenta, into the fetus at vulnerable stages of development. This can harm the developing infant. The harm caused, however, is often not easily recognized. Learning and behavior disorders in children and adolescents have been linked to pre-natal POPs exposure. Exposure to POPs before birth also contributes to immune system disorders, to reproductive and sex-linked disorders, and to some other diseases and deficits that may only begin later in life.

C. Properties of POPs

The Stockholm Convention identifies twelve substances as POPs under the Convention. Some are pesticides; some are industrial chemicals; some are chemical byproducts that are unintentionally formed and released to the environment in combustion and chemical processes. The twelve initial POPs of global concern are: *Aldrin, Chlordane,*



DDT, Dieldrin, Dioxins and Furans, Endrin, Heptachlor, Hexachlorobenze, Mirex, Toxaphene and Polychlorinated Biphenyls (PCBs).

The provisions of the Stockholm Convention also permit Parties to identify and list additional POPs for action under the Convention. Using these provisions, Parties may expand the list of chemicals of concern well beyond the initial list of twelve.

However, both the initial list, as well as other POPs of global concern that may be added later, must, at minimum, possess certain properties in common. According to the Stockholm Convention, POPs are chemical substances with the following properties:

- Produced and/or are mobilized into the environment as a result of human activity (*anthropogenic*);
- Potential to cause harm to human health and/or to the environment as a result of environmental exposure (*adverse effects*);
- Long life in the environment and not easily or quickly broken down when in air, in water, in soil, in sediments and/or in biota (*persistence*);
- Become concentrated in the environment to levels of concern under circumstances where larger species accumulate POPs by eating smaller, POPs-contaminated organisms (*bio-accumulation*); and
- Travel long distances in the environment (through air, water or migratory species), and accumulate to levels of concern at locations that are distant from the sources of release (*potential for long-range environmental transport*).

D. POPs as a Concern for Developing Countries

At first, POPs were mainly a northern concern; the first efforts to promote a global, legally binding POPs treaty came mainly from some groups in north and north-temperate regions. However, once proposals for a global POPs treaty were put forward, the initiative found important early support in many southern countries and developing countries. Many played active and important roles in the preparatory work and in the negotiations; many made important contributions to the establishment of a strong and effective Stockholm POPs Convention. This happened because it had become clear that a proper global POPs treaty could help southern countries and developing countries to address important domestic needs and concerns of their own. As a result, the final agreed provisions of the Stockholm Convention address and meet southern as well as northern needs and concerns.



The earliest argument for establishing a global, legally binding instrument on POPs was framed in terms specifically related to the domestic-interests and to the sovereignty-related interests of some northern countries. POPs entering the environment in one country can transport long distances and can cross borders. POPs can disrupt ecosystems and injure human health in countries far distant from where they first entered the environment. POPs that have been transported long distances can also contaminate and cause environmental injury to marine environments that lie outside the territorial waters of any country. National laws and/or regional agreements are not sufficient to address problems of these kinds.

Good evidence shows that POPs originating in distant countries cause serious harm to people and/or animals in the Arctic; the North Atlantic and North Sea; the Baltic Sea, the Great Lakes of North America; and other places. Governments with jurisdiction in these regions and governments whose national economies depend on marine resources in these regions were the first to seek a global POPs treaty. They did this by arguing that national and/or regional actions, alone would not be insufficient and inappropriate.

This argument was a starting point. It helped make the case that POPs are a truly global problem, and that a global legal instrument is therefore required and justified. This argument also finds reflection in the Convention's criteria for adding POPs. Only substances subject to long-range environmental transport, and substances capable of causing harm at distant locations meet the Convention's criteria for defining POPs. This argument and concern, however, does not directly speak to needs and concerns of most developing countries and countries in transition.

In most developing countries, long-range POPs transport has not been an important domestic concern. In most of the world, human exposure to POPs comes mainly from domestic sources, not mainly from long-range sources. Workers and communities nearby POPs sources generally are the ones most impacted.

It is logically obvious that if POPs contribute to injury in animals and people at locations thousands of kilometers distant from sources, these same POPs must cause significant injury to people and animals living nearby. This suggests that domestic workers and communities also need protection from these POPs, and may need protection more urgently than do people and animals far away. In the final analysis, the greatest significance of the fact that POPs transport and cause harm at long distances may be that this property helps to motivate donor countries to contribute to activities aimed at protecting health and environment in developing countries from injury caused by POPs.

Ministries and agencies with domestic responsibility to protect human health and/or the environment from toxic chemical pollutants are usually aware that POPs cause injury at home. However, these Ministries and agencies face a dilemma. POPs is just one of many serious problems the country faces. Some other problems may be seen to be even more urgent and more immediately compelling. Resource limitations and competing priorities often mean that Ministries and agencies are not able to mobilize the awareness and the resources they would need to implement meaningful domestic programs to mitigate or



eliminate POPs and the problems they cause. Many in developing countries welcomed the Stockholm Convention as a vehicle that helps raise awareness at home, and that helps mobilize the resources needed to take meaningful action to manage and eliminate harmful chemical pollutants.

During negotiations on the treaty, developing countries and countries in transition sought provisions that not only address global concerns, but also ones that address domestic needs and concerns. This was largely successful. The Stockholm Convention Preamble mentions local exposures to POPs as an important health concern of developing countries. This precedes any reference in the treaty to long-range transport.

The Convention explicitly acknowledges, at the insistence of many developing country governments, that: “sustainable economic and social development and eradication of poverty are the first and overriding priorities of the developing country Parties.” Governments indicated support for Convention objectives and measures, but many also clearly indicated they have limited resources and they have other, higher priorities. These governments did not wish to sacrifice resources dedicated to their higher priority interests in order to meet Stockholm Convention objectives. To reflect this concern, the Convention states:

“The 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 which fulfill their obligations under this Convention ...”

The Stockholm Convention links effective implementation of Convention commitments on the part of developing country Parties to the performance of donor governments in meeting their Convention commitments to provide financial resources, technical assistance and technology transfer. This provides a framework for mobilizing assistance and for building awareness. Many who work in Health Ministries, Environment Ministries, Agriculture Ministries, and others, and who have responsibilities for government activities to protect public health and the environment from toxic chemical pollutants welcome the Convention and the opportunities it can help provide.

E. POPs Sources and Convention Provisions

Of the initial twelve POPs covered under the Stockholm Convention some have been used as pesticides, some as industrial chemicals and some arise as unwanted byproducts of chemical and combustion processes.

These different categories overlap. For example, Mirex, which was produced primarily for use as a pesticide has also been used as a fire retardant; PCBs, which were produced as industrial chemicals in large quantities, are also generated as unwanted

byproducts; and hexachlorobenzene fits into all three categories: pesticide, industrial chemical and byproduct.

The Seven Banned Insecticides. Seven of the listed POPs are produced mainly for use as insecticides and are subject to treaty provisions that will lead to their being phased-out and banned. These seven have similar (though not identical) uses. The seven are *Aldrin*, *Chlordane*, *Dieldrin*, *Endrin*, *Heptachlor*, *Mirex*, and *Toxaphene*.

These insecticides have been mainly used in agriculture and/or used to protect wooden structures and equipment from termites and ants, especially in tropical or semi-tropical regions. Users have often valued these insecticides because, once applied, they remain effective for a long time. This property – which is called “*persistence*” – has been especially useful in certain applications such as providing long-lasting termite protection to wooden structures. However, it is precisely the persistence of these pesticides that contributes to their classification as persistent organic pollutants, or POPs.

All seven are already banned, or are already subject to severe restrictions in many countries. All seven will become subject to prohibition of production, use, import and export under the Stockholm Convention.

In most countries, satisfactory alternatives exist for most of the applications of these pesticides (including non-chemical alternatives and indigenous alternatives). However, some countries may face economic, technical, and/or other barriers to satisfactory deployment of alternatives, and may seek financial and/or technical assistance to aid in their implementation.

Specific uses of these seven insecticides have included the following:

ALDRIN: Aldrin has been used to control soil insects such as termites, corn rootworm, wireworms, rice water weevil, and grasshoppers. It has been used to protect crops such as corn and potatoes and to protect wooden structures from termites.

CHLORDANE: Chlordane has been used as insecticide on agricultural crops including vegetables, small grains, maize, other oilseeds, potatoes, sugarcane, sugar beets, fruits, nuts, cotton and jute. It has also been used in the control of termites.

DIELDRIN: Dieldrin has been used for the control of soil insects.

ENDRIN: Endrin has been used mainly on field crops such as cotton and grains. It has also been used as a rodenticide to control mice and voles.

HEPTACHLOR: Heptachlor has been used against soil insects and termites. It has also been used against cotton insects, grasshoppers, and some crop pests.



MIREX: Mirex has been used against fire ants and to combat leaf cutters, harvester termites, harvester ants and mealybug. It has also been used as a fire retardant in plastics, rubber, paint paper and electrical goods.

TOXAPHENE: Toxaphene has been used primarily on cotton, cereal grains fruits, nuts and vegetables. It has also been used to control ticks and mites in livestock.

DDT. DDT is also an insecticide. As such, it is similar to the seven banned POPs insecticides listed above. The Stockholm Convention, however, does not obligate Parties to phase-out and ban all use of DDT as an insecticide. It will, however, require Parties to severely restrict DDT use.

In the past, DDT was extensively used against insect pests on a variety of agricultural crops. Cotton may have been the most important of these. The primary DDT application, however, has been in combating vector borne diseases such as malaria. DDT was widely used during the Second World War to protect troops and civilians from disease, and it continues to be used in many countries for this purpose until the present.

Most countries already ban or severely restrict all DDT uses in agriculture. The Stockholm Convention will require Parties to phase-out all remaining DDT agricultural uses. In most cases, it will be possible for countries to achieve this with few economic or technical barriers. Some DDT applications for uses associated with disease vector control may also be phased-out relatively easily. There exist, however, some important exceptions. In some areas where malaria is endemic, DDT is used for spraying walls inside sleeping quarters to kill or repel night-biting mosquitoes. In some of these areas – based on an analysis of local conditions – the World Health Organization (WHO) still recommends indoor DDT spraying as a useful and cost-effective malaria control measure. The Stockholm Convention will permit this practice and some others to be continued without any specific phase-out date or target.

Continued production and use of DDT will be permitted for disease vector control when the DDT it is used in accordance with WHO guidelines, and when locally safe, effective and affordable alternatives are not available. The Stockholm Convention, however, will require Parties to implement measures to eliminate DDT production and use for other purposes. It will also encourage research on suitable alternatives to DDT in disease vector control and other actions aimed at reducing and ultimately eliminating DDT use.

The Convention will also require Parties using DDT for vector control to report every three years on amounts used, conditions of use, and relevance of DDT use to the Party's disease management strategy.

Hexachlorobenzene. Hexachlorobenzene (HCB) also has a long history of use as a pesticide. However, HCB is not an insecticide. Its main use has been as a fungicide for seed



treatment, especially for control of bunt of wheat. HCB has also been used as a solvent in pesticide applications.

Most pesticide applications of HCB may already have been discontinued in most countries. Nor do there appear to be significant remaining economic or technical barriers to the complete elimination of HCB for intentional use in pesticide applications. However, HCB has also been widely produced as an intentionally produced chemical intermediate in production processes. Some military applications of HCB have also been reported, including use of HCB in smokescreens and in tracers.

Finally, HCB is also produced as an unintended byproduct in the manufacture of some industrial chemicals (especially some chlorinated solvents), and in the manufacture of some pesticides. When this happens, HCB may be present as an impurity in the product. Significant quantities of HCB can also be generated and released to the environment in some combustion processes.

Under the Stockholm Convention, intentional uses of HCB will be phased-out and banned. In addition, measures will also be required to reduce and minimize releases of HCB when it is generated as an unwanted byproduct, and the aim of these measures should be elimination. Implementation of measures to eliminate non-pesticide uses of HCB, and to effectively minimize HCB as an unwanted byproduct may encounter economic, technical or other barriers.

Polychlorinated Biphenyls. Polychlorinated biphenyls (PCBs) are a class of chlorinated hydrocarbons that have been widely used as industrial chemicals since 1930. There are 209 varieties of PCBs, and most commercial PCB applications have involved mixtures of these PCB varieties. Under the Stockholm Convention, intentional production of PCBs will be banned, and PCB use will be phased out.

Large quantities of PCBs were produced for use as a cooling and dielectric fluid in electric transformers and in large capacitors. PCBs have also been widely used as hydraulic fluids and as heat exchange fluids. Other PCB applications have included use as a sealant, as a paint additive, as an additive in some plastics, as a component of carbonless copy papers, and others.

PCBs can also be formed and released as unwanted byproducts in some chemical and combustion processes.

Intentional PCB production was ended in most countries by 1980. The major exception to this was in the former Soviet Union and some Central European countries. Most transformers and capacitors built after 1980 do not contain PCBs. New PCBs in other applications also became rare. The major exception to this is transformers and other PCB applications produced since 1980 in the former Soviet Union.



No country presently reports intentional PCB production. However, some countries may have PCB stockpiles and may continue using PCBs in some new transformers and in transformer repair.

Under the Stockholm Conventions, Parties will be required to remove all PCBs from use by 2025, at the latest. PCB recovery for the purpose of its reuse in other equipment will be banned, and all PCB export and import will be prohibited except for the purpose of environmentally sound waste management. Parties will identify and label PCB-containing equipment, assure the equipment does not leak, and avoid PCB use in applications associated with processing of food or feed. When PCB-containing articles become wastes, their PCB content must be appropriately destroyed or disposed in accordance with Convention provisions.

Polychlorinated Dioxins and Furans. Dioxins and furans are a class of chlorinated hydrocarbons that have never been commercially or intentionally produced except in small quantities for laboratory purposes and/or as reference standards. There are 75 different dioxin congeners and 135 different furan congeners.

Dioxins and furans are generated as unwanted byproducts in a variety of combustion and chemical processes.

All dioxins and furans have similar toxicity, but the different dioxin and furan congeners have varying potency. There exists internationally recognized weighting systems that assign what is called “Toxicity Equivalency Factors” (TEFs) to different congeners according to their potency. The most potent dioxin – 2,3,7,8-TCDD – is assigned a TEF of 1.0. The others are assigned TEFs that are a fraction of 1.0. When a laboratory analyzes a mixture of dioxins and furans, the quantity of each congener present is multiplied by its TEF. The results are then summed, and the sum is expressed in terms of Toxic Equivalency (TEQ). (For example, if a mixture has a TEQ of 22 nanograms of dioxin, this means the mixture has the same toxic potency as 22 nanograms of pure 2,3,7,8 TCDD.)

Laboratory tests to measure dioxins and furans are presently very difficult and expensive to perform. Few countries have laboratories with the capacity to perform these tests.

The Stockholm Convention identifies a number of dioxin and furan source categories. These include: waste incinerators combusting municipal waste, hazardous waste, medical waste and sewage sludge. Also, cement kilns firing hazardous waste and open burning of waste, including landfill fires.

Other dioxin and furan source categories are: pulp and paper mills using chlorine bleach processes; certain thermal processes in the metallurgical industry; some chemical production processes; and others.

Under the Stockholm Convention, Parties are obliged to take measures to reduce total dioxin and furan releases with the goal of their continuing minimization and, where feasible, ultimate elimination.

The starting point will be for Parties to develop action plans that will: evaluate current and projected dioxin and furan releases; review existing laws and policies; and develop strategies. The actions a Party may take to reduce dioxin releases include:

Promoting or requiring substitute or modified materials, products or processes to prevent dioxin and furan formation and release;

Requiring the use of best available techniques (BAT) for new sources in categories specified in the action plan and for all new sources in certain categories specified in Convention Annexes;

Promoting BAT and best environmental practices (BEP) for new sources in other categories and for existing sources.

POPs Stockpiles, Wastes. Parties will be required to develop strategies for identifying POPs stockpiles; for identifying products and articles in use containing or contaminated with POPs; and for identifying wastes consisting of or contaminated with POPs.

Parties will be required to collect, handle and store POPs stockpiles and wastes in an environmentally sound manner (including products and articles upon becoming wastes). Parties will be required to dispose of these stockpiles and wastes, preferably in a way that destroys the POPs content or irreversibly transforms the POPs content so that it no longer exhibits properties of POPs.

Parties will also endeavor to develop strategies for identifying sites (soils and sediments) contaminated with POPs and, if remediation is undertaken, it shall be performed in an environmentally sound manner.

Other Stockholm Convention Provisions

Parties will be required to develop and implement a plan for the implementation of its obligations under the Convention. It will transmit its plan to the Convention's Conference of the Parties (COP); and will review and update the plan as appropriate.

The Convention includes provisions for: Information exchange; Public information, awareness and education; Research, development and monitoring; Reporting; Effectiveness evaluation; and Settlement of disputes.

As indicated earlier, the Convention also includes provisions for listing additional POPs for action beyond the initial list of twelve, and for determining related reduction and/or elimination measures for them.

Also, as indicated earlier, the Convention includes provisions on Technical Assistance and on Financial resources and mechanisms. These provisions recognize that: "timely and appropriate technical assistance in response to requests from developing country Parties and Parties with economies in transition is essential to the successful implementation of this Convention." These provisions also recognize that timely and appropriate financial assistance is also essential for this same purpose.





Persistent Organic Pollutants and Sustainable Human Development

Introduction

The deleterious human health and environmental effects of exposure to Persistent Organic Pollutants (POPs) are well documented worldwide and have provided impetus to the preparation of an international legal instrument aimed at phasing out POPs. However, relatively less emphasis has been placed on the socio-economic, cultural and other societal costs and consequences associated with POPs. The emerging picture, notably, shows that the constituencies most affected in society are generally the most vulnerable and marginalised groups, i.e. the rural and urban poor, and especially women and children.

There are a number of reasons why poor and vulnerable groups of society are often much more exposed to and affected by POPs. The urban poor typically reside in areas adjacent to major sources of POPs. For example, hazardous waste sites, incinerators, leaking controlled or uncontrolled landfill sites and waste dumps, and polluting industries are often located in the vicinity of low-income or minority populated areas, such as urban slums, exposing these groups to much higher burdens of pollutants including POPs.

Outside of urban areas, it is often the rural poor settlements that are more prone to illnesses like malaria, often increasing the exposure of these populations to malaria control POPs like DDT. The continuing legal and illegal use of POPs pesticides among the rural poor, especially in agriculture, further increases their exposure to and health risk from such POPs.

POPs, Health and Poverty

The diminished socio-economic opportunities of the rural and urban poor can be further reduced by the ill-health and environmental degradation resulting from exposure to POPs. In concert, these effects of POPs can lead to a declining spiral of poverty, including contaminated resource base, declining food quality, deteriorating mental and physical health, and reduced livelihood potential.

One of the most worrying aspects of POPs is their effect on children. Mothers may transfer as much as one-fifth of their total toxic body burden into their infant children, both before and after birth. There is ample evidence that fetal exposure to POPs affects the mental and physical development of children. As POPs concentrate in fatty tissue, these chemicals can become highly concentrated in breast milk. Therefore, infants can be further exposed to high levels of POPs through breast feeding.



Significant learning and attention problems have been documented among children exposed prenatally to PCBs and other persistent contaminants passed on by mothers who had eaten POPs-laden fish in the years prior to pregnancy. The most highly exposed children had difficulty paying attention, suffered from poorer short- and long-term memory, were twice as likely to be at least two years behind in reading comprehension, and were three times as likely to have low IQ scores.

The initial pre- and post-natal exposures and bio-accumulation can be further exacerbated due to consumption of POPs contaminated food and water. Studies of children growing up in Mexican agricultural areas utilizing POPs pesticides showed statistically significant differences in growth and development between these children and control groups from areas using traditional methods of pest control.

For developing countries, the consequences of the exposure of children to POPs is of grave concern. The learning difficulties associated with exposure to toxic substances, including POPs, will put an additional burden on efforts to educate future workers to meet increasing needs in a global economy growing increasingly technical. This has further consequences for the social and economic development of the country.

POPs and Indigenous Communities

At the community level the disruptive effects of POPs exposure can be equally devastating. For example, among many Arctic indigenous communities, catches of their traditional protein rich food sources (i.e. fish, seals) from the sea have declined or have become severely contaminated with POPs (due to the POPs 'distillation effect' which results in a net transfer of POPs from warmer to colder climates and ecosystems). This has forced these communities to rely on external food sources, thereby placing serious constraints on the economies in these regions. Furthermore, the decrease in their traditional livelihoods from fishing and hunting has resulted in the break-up of the traditional social and cultural fabric of these communities with adverse social consequences, in addition to the health problems associated with POPs.

POPs and Gender

Activities and interventions aimed at reducing and eliminating POPs will also have a positive effect on gender issues. Women in developing countries, in addition to being one of the main victims of the detrimental effects of POPs (women represent sixty percent of the agricultural work force in the developing world), are further discriminated in their lack of decision-making power, the invisibility or suppression of their concerns and priorities due to biased cultural norms, their lower levels of education and reduced access to health services. The Stockholm Convention calls for development and implementation of educational and public awareness programs targeting women, children and the least educated on POPs and their effects. Extensive public participation will be required to address POPs concerns at



national level, providing an opportunity for women's and minority groups to more effectively influence their life environment.

POPs, Governance and Macroeconomics

Activities to address POPs issues can also contribute to strengthening governance structures and processes in programme countries. The Convention puts high emphasis on cross-societal governance and information structures enabling all stakeholders to be informed and participate in the POPs reduction and phase-out processes. The POPs enabling activities planned will serve to establish or improve the structures for regulating chemicals, an increasingly important and complex health and environmental problem area. Establishment and/or strengthening of such systematic structures can play a key role in facilitating tackling of other national priorities such as municipal waste management. The cost-benefit approaches advocated for POPs reduction and phase-out will further nourish a governance culture where decision-makers are increasingly making the best use of limited resources.

At a macroeconomic level the consequences of POPs exposure may also be significant. For instance, the demands placed on already stretched resources for basic services, like health care, are further increased. POPs can impact both the quality and quantity of agricultural output and in some cases entire sectors of industries, like fisheries, can be irreversibly affected.

POPs and the Environment

The environmental benefits of the phase-out and elimination of POPs are also clear. Ample evidence exist on the devastating toll of persistent contaminants on wildlife. In many parts of the world, POPs have been shown to disrupt sexual development and to diminish reproductive abilities of exposed species. Some sensitive species have disappeared altogether because of total reproductive failure linked to chemicals on the POPs list. The linkage between reducing POPs and preserving biodiversity is strong both at individual species as well as at ecosystem levels. Linkages relating to Energy and Environment are also prominent particularly in the context of the POPs dioxins and furans, un-intentional by-products from combustion and energy intensive industry. Integrated approaches to urban development issues such as cleaner industrial production and minimization of municipal, hospital and other waste must be elements of any successful strategy to reducing and ultimately eliminating POPs.

UNDP and POPs

The discussion above demonstrates clearly that concerted global action on POPs will provide significant benefits to the key constituencies and customers of UNDP, the poor in the



developing world. Strong linkages to the UNDP focus areas of Gender, Governance and Environment are also evident.

Tackling the POPs problem needs to be part of a broadly coordinated strategy to help lift the poor out of poverty, and avoid the downward spiral of decreased livelihoods, health and environmental problems caused by exposure to POPs.

For UNDP, POPs pose both immediate and long-term challenges and opportunities towards pursuing and promoting its goal of sustainable human development. A portfolio of well-designed interventions aimed at assisting programme countries in implementing the Stockholm Convention will positively contribute to each of the major focus areas of UNDP.



Implementing the Stockholm Convention

4a--UNDP-GEF Role

UNDP has been one of the three Implementing Agencies of the GEF since its inception in 1991. Over that period, UNDP has developed a cumulative GEF portfolio of \$963 million, with 31% in Climate Change, 46% in biodiversity, 20% in International Waters and 3% in Ozone Depletion. UNDP-GEF has been the principal mechanism for countries to access GEF Climate Change and Biodiversity Enabling Activities funding, providing support to 94 (82%) and 83 (64%) of the nationally implemented Enabling Activities to date in Climate Change and Biodiversity, respectively.

As per its history and comparative advantage, UNDP has been the lead GEF Implementing Agency in the areas of capacity building and technical assistance. In addition to its extensive portfolio of full-sized projects, UNDP has also worked with governments, NGO's and other constituencies to develop a large portfolio (currently 32 projects) under GEF's Medium-Sized Projects (MSP) window. UNDP-GEF manages the highly successful GEF Small Grants Programme (SGP), which provides grants up to \$50,000 to non-governmental and community level organizations addressing global environmental issues.

Many of the issues and challenges relating to the phase-out and elimination of POPs involve enhancing national capacities through human resource development, institutional strengthening, technical assistance and other capacity building. In addition, the strong linkages between POPs and UNDP focus areas including poverty reduction, gender, environment and governance underscore the relevance of POPs to UNDP's mandate. As the UN agency tasked with capacity building aimed at reducing poverty, UNDP will play a key role in assisting countries to meet their obligations under the Stockholm Convention.

UNDP anticipates the development and support of a broad portfolio of POPs projects, including Enabling Activities, Full, Medium-Sized and Small Grants projects. UNDP Country Offices, with support from field-based Regional Coordinators and Headquarters, are prepared to offer their full support to governments, partner agencies, NGOs and others in the identification, preparation, and implementation of projects targeting POPs at the national level. In the near-term (until the GEF replenishment), the focus will be on assisting countries with the development of their Enabling Activities including development of country Implementation Plans for POPs phase-out and elimination.

Parties interested in discussing ideas, options and opportunities for POPs projects should contact their UNDP Country Office or Regional Coordinator at the coordinates shown in Section 5.

4b--Enabling Activities

In 2000, the GEF Secretariat authorized up to \$150 million in existing resources to be utilized in support of POPs Enabling Activities following signature of the Stockholm



Convention in May, 2001. The principal focus of these Enabling Activities is assisting countries in preparation of their Implementation Plans and first reporting obligations. Initial Enabling Activity guidelines, reviewed by the GEF Council at its May, 2001 meeting, are in Annex C.

POPs Enabling Activities are eligible for 'full funding' of agreed costs, e.g. no incremental cost analysis is required as for 'full-sized' projects. Countries may request up to \$500,000 for Enabling Activities under GEF's expedited approval and disbursement procedures; larger requests must go through standard GEF project cycle procedures. The range of actions that may be carried out under Enabling Activities are summarized in Annex C, para. 25. A template to assist countries in preparing Enabling Activity proposals is also included in Annex D.

Since 1991, UNDP has played a leading role in supporting both the Climate Change and Biodiversity Enabling Activities. To date, UNDP-GEF has provided Enabling Activity assistance to 83 countries (64%) and 94 countries (82%) for Biodiversity and Climate Change Enabling Activities, respectively. A large majority of Enabling Activity projects were executed by national agencies, creating opportunities for strong country ownership of project results. As part of this effort, UNDP substantially increased its in-country capacity in environment, including capacity to provide in-country technical assistance. For these Enabling Activities, UNDP Country Offices have played a pivotal role in ensuring general management oversight, including administrative support, serving as a liaison with UNDP New York, and facilitating the development and implementation of the Enabling Activity projects. UNDP also set up an effective system of regional and sub-regional coordinators to provide technical support for the national execution of Enabling Activities and to complement the managerial and administrative support provided by the UNDP Country Offices.

1--Lessons Learned from the Climate Change and Biodiversity Experiences

While distinct technically, there are many similarities in the Enabling Activity process among Climate Change, Biodiversity and POPs. These include preparation of inventories, action plans, and reporting obligations to the Conventions. Enabling Activities also have in common the need for public involvement, inter-sectoral coordination, institutional strengthening, capacity building and awareness raising. Thus there are clearly numerous lessons from the largely completed Biodiversity and Climate Change Enabling Activities processes which should be transferable to POPs Enabling Activities. A synthesis of these lessons, identified in recent evaluations of both the Climate Change and Biodiversity Enabling Activities, is summarized below.



Project Design and Management:

Strengths of good Enabling Activities/Action Plans include in-depth consultations among key stakeholders, solid technical analysis of major issues, and careful development of a plan consisting of clearly defined and prioritized activities.

Preparation of Implementation Plans must be linked and coordinated effectively with other, concurrent donor and national initiatives.

Incorporate lessons learned from organizing and managing preparation of other national plans.

Allow sufficient time and resources for awareness raising, stakeholder consultations and measured transition towards plan implementation.

Follow an iterative approach to project preparation in order to develop a workable project implementation plan.

Implement the Enabling Activity process with flexibility to adapt to local situations and needs.

2-2.5 years may be an appropriate time frame if the Enabling Activity focuses primarily on national reporting obligations; 3-3.5 years may be required if additional activities, such as public awareness, policy integration, or other aspects of capacity building are emphasized.

Significant implementation delays can be caused by issues such as development of budget and workplan, identification of consultants, and establishment of implementation arrangements.

Don't underestimate the time needed to complete particular studies, particularly for more technical and/or crosscutting aspects.

Capacity Building

Capacity building under Enabling Activities should be viewed not just as the minimum required for preparing initial communications, but as a first step in an evolving process of capacity enhancement for countries to meet their obligations under the Convention.

Achieving genuine intersectoral integration and joint implementation will require additional capacity building efforts that should be part of the Enabling Activity process.



Financial

Action Plans need to emphasize domestic resource mobilization vs. sole reliance on international funding.

Delays in completing Enabling Activities can put considerable pressure on budgets, especially where project staff salaries are paid from project funds.

Consult or brief key bilateral donors at reasonably early stage in Action Plan development.

Budget limitations of Enabling Activity projects can prevent countries from hiring international experts that may be required in some instances.

Enabling Activity projects that provide resources for travel and participation in international workshops and events can contribute considerably to the success of the Enabling Activity and to increasing the ability of countries to meet Convention communication requirements.

Institutional

Action Plans need to propose national policy and institutional changes vs. focus only on project-based approaches.

Mechanisms need to be found to mainstream POPs planning efforts more firmly within permanent government structures and decision-making processes.

Clearly define responsibilities for POPs management within governments.

Enabling Activities that don't effectively involve broader sectors are less likely to develop viable approaches to implementation of Action Plans.

Lead institutions with the capacity to link Action Plans with national and sectoral development planning may be the most effective.

Selecting experts for Task Forces rather than politically empowered representatives can leave countries with no real mechanism for ensuring interministerial coordination of wider consultation and consensus building.

Encourage the establishment or enhancement of National Committees by providing them with official recognition and entrusting them with broad POPs-related responsibilities.



Relevant technical expertise in some countries may be limited to a select group of individuals (e.g. academics), with the risk of limited transfer of knowledge of experience to the actual institutions in charge of POPs issues.

Convention Processes

Enabling Activities can help to 'bring home' to countries, and to broader constituencies, the implications of their commitments under a Convention.

Enabling Activity projects have a tendency to place undue emphasis on the obligations of the countries at the expense of responding to country needs and priorities.

Enabling Activities can enhance the participation of Convention parties in international fora, particularly the CoP, and can strengthen their presence and contribution in the decision-making process.

Finalization of Action Plans should include a review to assess whether all the key concerns and commitments required under the Convention have been adequately considered and matched with appropriate strategies and action plans.

Information, Awareness and Participation

Involvement of local communities, indigenous groups, and the private sector, and consideration of gender issues, are all vital elements of any Enabling Activity.

Effective multi-sectoral involvement requires knowledge and awareness to be raised outside the traditional constituencies.

Use existing information, resources and experience to the maximum extent possible.

The national consultation process should be raised from the sharing of expert opinion to that of making clear, formal and long-term agreements. One effective approach has been to further empower the responsible agencies.

Public information initiatives (glossaries, TV, radio, newspaper, media workshops, courses, etc.) can be used effectively concurrent with Action Plan preparation.

Enabling Activities should give better support to the development of web sites by granting the necessary resources for development, enhancement and updating of sites.

Insufficiently broad dissemination of Operational Guidelines for Enabling Activities within countries can lead to limited stakeholder participation in project design and ineffective inclusion of different sectoral concerns.



Weak involvement of NGOs may result from weak consideration of NGOs in the project design, or to rather restricted perceptions of governmental institutions regarding participation of NGOs in Enabling Activities.

Countries generally require methodologies for managing and updating data, including software, and guidance on how to establish national systems.

Sustainability

Governments need to ensure that steps are taken to maintain and build on the momentum gathered during an Enabling Activity.

Domestic resources should be mobilized to support networking with involved stakeholders following completion of an Enabling Activity.

Government approval of an Action Plan implies a country commitment to provide financing, institutional and other support to its Action Plan.

Institutional strengthening remains one of the major gaps of many Enabling Activity projects; in most cases, Enabling Activities did not create the necessary conditions for the sustainability of institutional arrangements.

Country commitment to maintaining staff involved in Enabling Activities following their completion can be a key element to achieve sustainability.

Technical

Linkages between the ecological and human health aspects of POPs elimination and the economic benefits and goals of countries should be considered.

Where involved, international consultants contributed to providing technical backstopping support, as well as sharing and transferring experience and knowledge to the national project staff.

Implementing Agencies

GEF IA's need to intensify efforts to strengthen coordination among themselves and to integrate Action Plans more aggressively with their own regular operational activities in individual countries.



IA's should clearly differentiate the roles and objectives of national vs. regional/global Enabling Activity projects.

Implementing Agencies should maintain flexibility in reallocating project funding and in redesigning project activities.

4c--The UNDP-GEF Small Grants Programme

Background

The Global Environment Facility (GEF) is a unique international entity. Its mission, governance, mandate and internal procedures reflect and represent innovative responses to the spirit and mandate of the landmark United Nations Conference on Environment and Development (UNCED), often popularly referred to as the Earth Summit, held in Rio de Janeiro, Brazil, in June 1992. The GEF aims to protect and promote global environmental benefits, by funding projects and programmes in the GEF focal areas of biodiversity, climate change, international waters and persistent organic pollutants (POPs), as well as degradation of land, desertification and deforestation as they relate to one or more of the aforesaid GEF focal areas. The implementing agencies of the GEF are the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP) and the World Bank.

Since its inception in 1992, the GEF Small Grants Programme (SGP), implemented by UNDP, has occupied a strategic niche within the GEF, particularly by supporting community-based initiatives and interventions responding to the criteria, objectives and priorities of the GEF. Notably, the SGP:

- supports outreach and awareness raising activities on selected environmental concerns;
- builds the capacities of non-governmental organisations (NGOs), community-based organisations (CBOs) and local communities in addressing such environmental concerns; and
- provides a mechanism for demonstrating and disseminating community-level or community-led interventions and solutions to such environmental concerns.

Further, SGP projects often also aim to complement and corroborate the medium-sized or full-sized GEF projects in a country by providing a window of opportunity for the participation of NGOs, CBOs and local communities in GEF-related activities. In fact, the SGP is rooted in the belief that many environmental concerns, challenges and considerations can be adequately addressed only if multi-stakeholders, like NGOs, CBOs and local communities, are realistically and meaningfully involved in their remediations.



Functionally, the SGP provides planning grants of upto US\$ 2,000 and full project grants of upto US\$ 50,000 in order to strategically enable NGOs, CBOs and local communities in a country to undertake sustainable livelihood project activities that do indeed make significant differences in the welfare and well-being of both their own lives and their own environments.

Principal Objectives

Operationally, the SGP aims to meet the following principal objectives in a country:

Demonstrate community-level strategies and technologies that could reduce threats to the global environment if they are replicated over time;

Draw lessons from community-level experiences, and support the spread of successful community-level strategies and innovations among NGOs, CBOs, local communities, host governments, development aid agencies, donors, UNDP, GEF and others working on a larger scale; and

Build partnerships and networks among the various local stakeholders to support and strengthen the capacity and capability of NGOs, CBOs and local communities to address environmental problems and promote sustainable development.

The SGP is now an integral part of the GEF's Corporate Business Plan and of UNDP's GEF portfolio. Coordinated and supported by the New York-based SGP Central Programme Management Team (CPMT), the actual implementation of the SGP is very much decentralised and country-driven, under the overall guidance of its broad-based SGP National Steering Committees (NSC) and its SGP Country Programme Strategies (CPS), along with the active participation of a wide range of NGOs, CBOs and local communities in the country.

Participating Countries

The SGP, administered by UNDP, is currently operational in some 50 countries worldwide, covering Africa, Europe, North Africa and the Middle East, Asia and the Pacific, and Latin America and the Caribbean.

<p>Operational Program on Persistent Organic Pollutants (POPs): This programme provides assistance to countries to meet their obligations under the Stockholm Convention on Persistent Organic Pollutants (POPs). The OP includes development and strengthening of capacity to enable countries to meet Convention obligations, and on-the-ground interventions aimed at implementing specific activities to reduce and phase-out POPs uses and sources and to remediate POPs stocks and contaminated sites. Under the SGP, NGOs and community-based organizations would develop and implement projects in support of Convention objectives while promoting poverty alleviation and sustainable livelihoods.</p>	<p>Potential eligible activities:</p> <ul style="list-style-type: none"> • POPs outreach and awareness raising among local communities, especially for women, children and the least educated; • Building capacity of NGOs, CBOs and local communities to participate in consultative and other activities in support of the development and implementation of a country's POPs implementation plan; • Pilot projects to demonstrate and promote community-based approaches to POPs reduction and elimination, such as alternative products, processes and practices; • Deriving and disseminating best practices and lessons learned in addressing POPs at the community level; • Identification of POPs sources; community-based monitoring and policy dialogue; • Promoting partnerships, networking, training and information exchange for local stakeholders to strengthen their awareness and capacity in addressing POPs.
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POPs background and Context in SGP Global Strategic Framework (draft):

In May, 2001, the international community adopted and opened for signature a legally binding instrument, the Stockholm Convention on Persistent Organic Pollutants (POPs), for implementing international action to reduce and eliminate releases of an initial list of twelve chemical substances with known adverse effects on human health and the environment. The Convention will enter into force following its ratification by 50 countries. The GEF has been selected as the interim financial mechanism to assist countries in meeting their obligations under the Stockholm Convention. A preliminary Operational Programme on POPs has been prepared and creation of a new GEF focal area on POPs will be considered at the next GEF Assembly in 2002.

POPs are characterized by *persistence*---the ability to resist degradation in various media (air, water and sediments) for months and even decades; *bio-accumulation*---the ability to accumulate in living tissues at levels higher than those in the surrounding environment; and the *potential for long range transport*---the potential to travel great distances from the source of release through various media (air, water, and migratory species). These chemical substances cause injury to human health and to species and ecosystems both adjacent to and



far away from their sources. These effects include disruption of endocrine systems, suppression of immune system functions, carcinogenicity, and induction of reproductive and developmental changes. The evidence of detrimental effects of POPs on living organisms at the level of entire populations demonstrate the threat to biodiversity and the potential for disruption at the ecosystem level. Organisms at the top of food chains, including humans, usually accumulate the highest body burden over their lifetime.

4d--Medium and Full-Sized Projects

In addition to Enabling Activities, the second category of GEF assistance anticipated under the POPs Operational Programme/Focal Area are 'on the ground' interventions aimed at implementing specific POPs phase-out and remediation measures at national and/or regional levels, including targeted capacity building and investments. Projects in this area will be eligible for GEF incremental cost funding; it is anticipated that funding for such projects will become available following the upcoming GEF replenishment.

Medium and Full-Sized projects eligible for funding fall under four principal objectives (see Draft POPs Operational Programme, Annex 7b, for additional details):

1. Develop and/or strengthen the capacity of developing countries and countries with economies in transition to address the threats posed by POPs, according to the priorities and needs identified by the countries;
2. Promote/effect transition to sustainable alternatives to POPs;
3. Facilitate the environmentally sound disposal of stockpiles of obsolete POPs;
4. Facilitate the identification and remediation of sites affected by POPs.

Selected activities will also be eligible for funding under the GEF Targeted Research window, including:

1. Development/promotion of low cost POPs rapid assessment methodologies;
2. Development of methodologies for exposure assessment in susceptible populations;
3. Characterization of the biogeochemical behavior of POPs in tropical areas;
4. Identification of exposure pathways in particular scenarios, e.g. malaria areas and hazardous waste sites;
5. Development of models for forecasting threshold concentrations of POPs in the presence of multiple stressors;
6. Development of regional models for POPs behavior and fate (river basins, SIDS, climatically-uniform continental areas)

Medium-Sized and Full Project preparation and submission will follow standard GEF project cycle procedures. Targeted Research projects will follow agreed procedures for the preparation of Targeted Research proposals.



Project proposal formats, guidelines, GEF project cycle and other information pertinent to the preparation of POPs Medium, Full and Targeted Research projects can be requested from UNDP Country Offices (Section 6a) or downloaded from the Internet at:

www.undp.org/gef

In advance of broader POPs funding anticipated following the GEF replenishment, UNDP, in partnership with UNIDO, is expediting 'on the ground' POPs remediation activities through a project presently in preparation under International Waters Operational Programme 10, Contaminants-based. The project is described briefly below; PDF-B funding has been approved by the GEF.

Demonstration of Viability and Removal of Barriers that Impede Adoption and Effective Implementation of Available, Non-combustion Technologies for Destroying Persistent Organic Pollutants - Slovakia, Philippines

PROJECT OBJECTIVES/SUMMARY

The objective of the proposed Global Project is to demonstrate the viability of available non-combustion technologies for use in the destruction of obsolete Persistent Organic Pollutants (POPs) stockpiles and the cleanup and remediation of POPs contaminated soils or sediments. The Full Project will successfully use such technologies to destroy significant obsolete POPs stockpiles in countries with developing economies and economies in transition, and it will thereby help remove barriers to the further adoption and effective implementation of available non-combustion technologies.

The PDF-B will:

- establish preliminary criteria and guidelines to be used in selecting and deploying technologies that are appropriate to this demonstration activity;
- identify a range of available technologies and technology vendors that appear to have the capacity to satisfy the established criteria and guidelines;
- establish planning process guidelines to be used in country planning activities;
- secure broad stakeholder and government support for planning process guidelines, and put in place appropriate planning activities in Asia (Philippines) and in Eastern Europe (Slovakia) that can begin to apply, these criteria and guidelines in the development of detailed plans for the implementation of POPs destruction demonstration activities; and
- complete all relevant preparations for a PDF-C as the next phase of the project..

Finalised Country Planning Activities will be completed under a PDF-C that will enable preparation of detailed specifications and guidance for the proposed POPs destruction and cleanup activities. Finalised Country Planning Activities will include:

- specifications to be used to guide the acquisition and deployment of the selected technologies;



- detailed characterization of the stockpile to be destroyed including chemical/physical analysis;
- other relevant site assessment or analysis;
- operating guidelines to be followed during destruction and cleanup activities; and
- ongoing site monitoring and reporting protocols; etc.

The PDF-C will also complete all relevant preparations for the Full Project including development of a Project Brief and Project Document.

An important feature of this project is its recognition that, in many countries, groups within civil society often have resisted proposed POPs destruction and cleanup activities, and that this resistance has often been a significant barrier to the successful execution of such proposed activities. This project (during the PDF-B, PDF-C and Full Project) will demonstrate means to overcome this kind of barrier by giving special emphasis to procedures that facilitate the participation of civil society groups in ways that will encourage their confidence and support for the proposed destruction and cleanup activities.

Approaches taken in the Philippines and Slovakia, and lessons learned during the Preparatory Funding phase and during the Full Project will be made available to other countries. Donors/partners will be recruited to expand the scope of the proposed project to other countries.

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UNITED
NATIONS

EP



United Nations

Distr.
GENERAL

UNEP/POPS/CONF/2
9 March 2001



ORIGINAL: ENGLISH

CONFERENCE OF PLENIPOTENTIARIES
ON THE STOCKHOLM CONVENTION ON
PERSISTENT ORGANIC POLLUTANTS
Stockholm, 22-23 May 2001

Text of the Stockholm Convention on Persistent Organic Pollutants
for adoption by the Conference of Plenipotentiaries

Note by the secretariat

1. At its fifth session, held in Johannesburg, from 4 to 9 December 2000, the Intergovernmental Negotiating Committee for an Internationally Legally Binding Instrument for Implementing International Action on Certain Persistent Organic Pollutants agreed on the text of the draft Stockholm Convention on Persistent Organic Pollutants included in appendix I to the report of the session, UNEP/POPS/INC.5/7, for adoption by the Conference of Plenipotentiaries.

2. With regard to the finalization of the text of the Stockholm Convention on Persistent Organic Pollutants, paragraph 88 of the report of the fifth session of the Intergovernmental Negotiating Committee states:

“The secretariat reported that, under the guidance of the Chair, it would review the text for minor editorial adjustments, such as correcting typographical errors, adjusting numbering and cross-references, ensuring the accuracy of document citations, and otherwise correcting any unintended errors that might exist in the text. It also noted that it would verify all language versions to prepare equally authentic texts. The secretariat sought the inputs of representatives to assist in the above process by 28 February 2001. That approach was agreed upon by the Committee.”

3. The attached text has been prepared by the secretariat according to the above mandate. It is submitted to the Conference of Plenipotentiaries for adoption.

STOCKHOLM CONVENTION ON PERSISTENT ORGANIC POLLUTANTS

The Parties to this Convention,

Recognizing that persistent organic pollutants possess toxic properties, resist degradation, bioaccumulate and are transported, through air, water and migratory species, across international boundaries and deposited far from their place of release, where they accumulate in terrestrial and aquatic ecosystems,

Aware of the health concerns, especially in developing countries, resulting from local exposure to persistent organic pollutants, in particular impacts upon women and, through them, upon future generations,

Acknowledging that the Arctic ecosystems and indigenous communities are particularly at risk because of the biomagnification of persistent organic pollutants and that contamination of their traditional foods is a public health issue,

Conscious of the need for global action on persistent organic pollutants,

Mindful of decision 19/13 C of 7 February 1997 of the Governing Council of the United Nations Environment Programme to initiate international action to protect human health and the environment through measures which will reduce and/or eliminate emissions and discharges of persistent organic pollutants,

Recalling the pertinent provisions of the relevant international environmental conventions, especially the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade, and the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal including the regional agreements developed within the framework of its Article 11,

Recalling also the pertinent provisions of the Rio Declaration on Environment and Development and Agenda 21,

Acknowledging that precaution underlies the concerns of all the Parties and is embedded within this Convention,

Recognizing that this Convention and other international agreements in the field of trade and the environment are mutually supportive,

Reaffirming that States have, in accordance with the Charter of the United Nations and the principles of international law, the sovereign right to exploit their own resources pursuant to their own environmental and developmental policies, and the responsibility to ensure that activities within their jurisdiction or control do not cause damage to the environment of other States or of areas beyond the limits of national jurisdiction,

Taking into account the circumstances and particular requirements of developing countries, in particular the least developed among them, and countries with economies in transition, especially the need to strengthen their national capabilities for the management of chemicals, including through the transfer of technology, the provision of financial and technical assistance and the promotion of cooperation among the Parties,

Taking full account of the Programme of Action for the Sustainable Development of Small Island Developing States, adopted in Barbados on 6 May 1994,

Noting the respective capabilities of developed and developing countries, as well as the common but differentiated responsibilities of States as set forth in Principle 7 of the Rio Declaration on Environment and Development,

Recognizing the important contribution that the private sector and non-governmental organizations can make to achieving the reduction and/or elimination of emissions and discharges of persistent organic pollutants,

Underlining the importance of manufacturers of persistent organic pollutants taking responsibility for reducing adverse effects caused by their products and for providing information to users, Governments and the public on the hazardous properties of those chemicals,

Conscious of the need to take measures to prevent adverse effects caused by persistent organic pollutants at all stages of their life cycle,

Reaffirming Principle 16 of the Rio Declaration on Environment and Development which states that national authorities should endeavour to promote the internalization of environmental costs and the use of economic instruments, taking into account the approach that the polluter should, in principle, bear the cost of pollution, with due regard to the public interest and without distorting international trade and investment, Encouraging Parties not having regulatory and assessment schemes for pesticides and industrial chemicals to develop such schemes,

Recognizing the importance of developing and using environmentally sound alternative processes and chemicals,

Determined to protect human health and the environment from the harmful impacts of persistent organic pollutants,

Have agreed as follows:

Article 1

Objective

Mindful of the precautionary approach as set forth in Principle 15 of the Rio Declaration on Environment and Development, the objective of this Convention is to protect human health and the environment from persistent organic pollutants.

Article 2

Definitions

For the purposes of this Convention:

- (a) "Party" means a State or regional economic integration organization that has consented to be bound by this Convention and for which the Convention is in force;
- (b) "Regional economic integration organization" means an organization constituted by sovereign States of a given region to which its member States have transferred competence in respect of matters governed by this Convention and which has been duly authorized, in accordance with its internal procedures, to sign, ratify, accept, approve or accede to this Convention;
- (c) "Parties present and voting" means Parties present and casting an affirmative or negative vote.

Article 3

Measures to reduce or eliminate releases from intentional production and use

1. Each Party shall:
 - (a) Prohibit and/or take the legal and administrative measures necessary to eliminate:
 - (i) Its production and use of the chemicals listed in Annex A subject to the provisions of that Annex; and
 - (ii) Its import and export of the chemicals listed in Annex A in accordance with the provisions of paragraph 2; and
 - (b) Restrict its production and use of the chemicals listed in Annex B in accordance with the provisions of that Annex.
2. Each Party shall take measures to ensure:
 - (a) That a chemical listed in Annex A or Annex B is imported only:
 - (i) For the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6; or
 - (ii) For a use or purpose which is permitted for that Party under Annex A or Annex B;
 - (b) That a chemical listed in Annex A for which any production or use specific exemption is in effect or a chemical listed in Annex B for which any production or use specific exemption or acceptable purpose is in effect, taking into account any relevant provisions in existing international prior informed consent instruments, is exported only:
 - (i) For the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6;
 - (ii) To a Party which is permitted to use that chemical under Annex A or Annex B; or
 - (iii) To a State not Party to this Convention which has provided an annual certification to the exporting Party. Such certification shall specify the intended use of the chemical and include a statement that, with respect to that chemical, the importing State is committed to:
 - a. Protect human health and the environment by taking the necessary measures to minimize or prevent releases;
 - b. Comply with the provisions of paragraph 1 of Article 6; and
 - c. Comply, where appropriate, with the provisions of paragraph 2 of Part II of Annex B.

The certification shall also include any appropriate supporting documentation, such as legislation, regulatory instruments, or administrative or policy guidelines. The exporting Party shall transmit the certification to the Secretariat within sixty days of receipt.

(c) That a chemical listed in Annex A, for which production and use specific exemptions are no longer in effect for any Party, is not exported from it except for the purpose of environmentally sound disposal as set forth in paragraph 1 (d) of Article 6;

(d) For the purposes of this paragraph, the term "State not Party to this Convention" shall include, with respect to a particular chemical, a State or regional economic integration organization that has not agreed to be bound by the Convention with respect to that chemical.

3. Each Party that has one or more regulatory and assessment schemes for new pesticides or new industrial chemicals shall take measures to regulate with the aim of preventing the production and use of new pesticides or new industrial chemicals which, taking into consideration the criteria in paragraph 1 of Annex D, exhibit the characteristics of persistent organic pollutants.

4. Each Party that has one or more regulatory and assessment schemes for pesticides or industrial chemicals shall, where appropriate, take into consideration within these schemes the criteria in paragraph 1 of Annex D when conducting assessments of pesticides or industrial chemicals currently in use.

5. Except as otherwise provided in this Convention, paragraphs 1 and 2 shall not apply to quantities of a chemical to be used for laboratory-scale research or as a reference standard.

6. Any Party that has a specific exemption in accordance with Annex A or a specific exemption or an acceptable purpose in accordance with Annex B shall take appropriate measures to ensure that any production or use under such exemption or purpose is carried out in a manner that prevents or minimizes human exposure and release into the environment. For exempted uses or acceptable purposes that involve intentional release into the environment under conditions of normal use, such release shall be to the minimum extent necessary, taking into account any applicable standards and guidelines.

Article 4

Register of specific exemptions

1. A Register is hereby established for the purpose of identifying the Parties that have specific exemptions listed in Annex A or Annex B. It shall not identify Parties that make use of the provisions in Annex A or Annex B that may be exercised by all Parties. The Register shall be maintained by the Secretariat and shall be available to the public.

2. The Register shall include:
- (a) A list of the types of specific exemptions reproduced from Annex A and Annex B;
 - (b) A list of the Parties that have a specific exemption listed under Annex A or Annex B; and
 - (c) A list of the expiry dates for each registered specific exemption.
3. Any State may, on becoming a Party, by means of a notification in writing to the Secretariat, register for one or more types of specific exemptions listed in Annex A or Annex B.
4. Unless an earlier date is indicated in the Register by a Party, or an extension is granted pursuant to paragraph 7, all registrations of specific exemptions shall expire five years after the date of entry into force of this Convention with respect to a particular chemical.
5. At its first meeting, the Conference of the Parties shall decide upon its review process for the entries in the Register.

6. Prior to a review of an entry in the Register, the Party concerned shall submit a report to the Secretariat justifying its continuing need for registration of that exemption. The report shall be circulated by the Secretariat to all Parties. The review of a registration shall be carried out on the basis of all available information. Thereupon, the Conference of the Parties may make such recommendations to the Party concerned as it deems appropriate.

7. The Conference of the Parties may, upon request from the Party concerned, decide to extend the expiry date of a specific exemption for a period of up to five years. In making its decision, the Conference of the Parties shall take due account of the special circumstances of the developing country Parties and Parties with economies in transition.

8. A Party may, at any time, withdraw an entry from the Register for a specific exemption upon written notification to the Secretariat. The withdrawal shall take effect on the date specified in the notification.

9. When there are no longer any Parties registered for a particular type of specific exemption, no new registrations may be made with respect to it.

Article 5

Measures to reduce or eliminate releases from unintentional production

Each Party shall at a minimum take the following measures to reduce the total releases derived from anthropogenic sources of each of the chemicals listed in Annex C, with the goal of their continuing minimization and, where feasible, ultimate elimination:

(a) Develop an action plan or, where appropriate, a regional or subregional action plan within two years of the date of entry into force of this Convention for it, and subsequently implement it as part of its implementation plan specified in Article 7, designed to identify, characterize and address the release of the chemicals listed in Annex C and to facilitate implementation of subparagraphs (b) to (e). The action plan shall include the following elements:

- (i) An evaluation of current and projected releases, including the development and maintenance of source inventories and release estimates, taking into consideration the source categories identified in Annex C;
- (ii) An evaluation of the efficacy of the laws and policies of the Party relating to the management of such releases;
- (iii) Strategies to meet the obligations of this paragraph, taking into account the evaluations in (i) and (ii);
- (iv) Steps to promote education and training with regard to, and awareness of, those strategies;
- (v) A review every five years of those strategies and of their success in meeting the obligations of this paragraph; such reviews shall be included in reports submitted pursuant to Article 15;
- (vi) A schedule for implementation of the action plan, including for the strategies and measures identified therein;

(b) Promote the application of available, feasible and practical measures that can expeditiously achieve a realistic and meaningful level of release reduction or source elimination;

(c) Promote the development and, where it deems appropriate, require the use of substitute or modified materials, products and processes to prevent the formation and release of the chemicals listed in Annex C, taking into consideration the general guidance on prevention and release reduction measures in Annex C and guidelines to be adopted by decision of the Conference of the Parties;

(d) Promote and, in accordance with the implementation schedule of its action plan, require the use of best available techniques for new sources within source categories which a Party has identified as warranting such action in its action plan, with a particular initial focus on source categories identified in Part II of Annex C. In any case, the requirement to use best available techniques for new sources in the categories listed in Part II of that Annex shall be phased in as soon as practicable but no later than four years after the entry into force of the Convention for that Party. For the identified categories, Parties shall promote the use of best environmental practices. When applying best available techniques and best environmental practices, Parties should take into consideration the general guidance on prevention and release reduction measures in that Annex and guidelines on best available techniques and best environmental practices to be adopted by decision of the Conference of the Parties;

(e) Promote, in accordance with its action plan, the use of best available techniques and best environmental practices:

- (i) For existing sources, within the source categories listed in Part II of Annex C and within source categories such as those in Part III of that Annex; and
- (ii) For new sources, within source categories such as those listed in Part III of Annex C which a Party has not addressed under subparagraph (d).

When applying best available techniques and best environmental practices, Parties should take into consideration the general guidance on prevention and release reduction measures in Annex C and guidelines on best available techniques and best environmental practices to be adopted by decision of the Conference of the Parties;

(f) For the purposes of this paragraph and Annex C:

- (i) "Best available techniques" means the most effective and advanced stage in the development of activities and their methods of operation which indicate the practical suitability of particular techniques for providing in principle the basis for release limitations designed to prevent and, where that is not practicable, generally to reduce releases of chemicals listed in Part I of Annex C and their impact on the environment as a whole. In this regard:
 - (ii) "Techniques" includes both the technology used and the way in which the installation is designed, built, maintained, operated and decommissioned;
 - (iii) "Available" techniques means those techniques that are accessible to the operator and that are developed on a scale that allows implementation in the relevant industrial sector, under economically and technically viable conditions, taking into consideration the costs and advantages; and
 - (iv) "Best" means most effective in achieving a high general level of protection of the environment as a whole;
 - (v) "Best environmental practices" means the application of the most appropriate combination of environmental control measures and strategies;
 - (vi) "New source" means any source of which the construction or substantial modification is commenced at least one year after the date of:

- a. Entry into force of this Convention for the Party concerned; or
 - b. Entry into force for the Party concerned of an amendment to Annex C where the source becomes subject to the provisions of this Convention only by virtue of that amendment.
- (g) Release limit values or performance standards may be used by a Party to fulfill its commitments for best available techniques under this paragraph.

Article 6

Measures to reduce or eliminate releases from stockpiles and wastes

1. In order to ensure that stockpiles consisting of or containing chemicals listed either in Annex A or Annex B and wastes, including products and articles upon becoming wastes, consisting of, containing or contaminated with a chemical listed in Annex A, B or C, are managed in a manner protective of human health and the environment, each Party shall:
- (a) Develop appropriate strategies for identifying:
 - (i) Stockpiles consisting of or containing chemicals listed either in Annex A or Annex B; and
 - (ii) Products and articles in use and wastes consisting of, containing or contaminated with a chemical listed in Annex A, B or C;
 - (b) Identify, to the extent practicable, stockpiles consisting of or containing chemicals listed either in Annex A or Annex B on the basis of the strategies referred to in subparagraph (a);
 - (c) Manage stockpiles, as appropriate, in a safe, efficient and environmentally sound manner. Stockpiles of chemicals listed either in Annex A or Annex B, after they are no longer allowed to be used according to any specific exemption specified in Annex A or any specific exemption or acceptable purpose specified in Annex B, except stockpiles which are allowed to be exported according to paragraph 2 of Article 3, shall be deemed to be waste and shall be managed in accordance with subparagraph (d);
 - (d) Take appropriate measures so that such wastes, including products and articles upon becoming wastes, are:
 - (i) Handled, collected, transported and stored in an environmentally sound manner;
 - (ii) Disposed of in such a way that the persistent organic pollutant content is destroyed or irreversibly transformed so that they do not exhibit the characteristics of persistent organic pollutants or otherwise disposed of in an environmentally sound manner when destruction or irreversible transformation does not represent the environmentally preferable option or the persistent organic pollutant content is low, taking into account international rules, standards, and guidelines, including those that may be developed pursuant to paragraph 2, and relevant global and regional regimes governing the management of hazardous wastes;
 - (iii) Not permitted to be subjected to disposal operations that may lead to recovery, recycling, reclamation, direct reuse or alternative uses of persistent organic pollutants; and
 - (iv) Not transported across international boundaries without taking into account relevant international rules, standards and guidelines;

(e) Endeavour to develop appropriate strategies for identifying sites contaminated by chemicals listed in Annex A, B or C; if remediation of those sites is undertaken it shall be performed in an environmentally sound manner.

2. The Conference of the Parties shall cooperate closely with the appropriate bodies of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal to, inter alia:

(a) Establish levels of destruction and irreversible transformation necessary to ensure that the characteristics of persistent organic pollutants as specified in paragraph 1 of Annex D are not exhibited;

(b) Determine what they consider to be the methods that constitute environmentally sound disposal referred to above; and

(c) Work to establish, as appropriate, the concentration levels of the chemicals listed in Annexes A, B and C in order to define the low persistent organic pollutant content referred to in paragraph 1 (d)(ii).

Article 7

Implementation plans

1. Each Party shall:

(a) Develop and endeavour to implement a plan for the implementation of its obligations under this Convention;

(b) Transmit its implementation plan to the Conference of the Parties within two years of the date on which this Convention enters into force for it; and

(c) Review and update, as appropriate, its implementation plan on a periodic basis and in a manner to be specified by a decision of the Conference of the Parties.

2. The Parties shall, where appropriate, cooperate directly or through global, regional and subregional organizations, and consult their national stakeholders, including women's groups and groups involved in the health of children, in order to facilitate the development, implementation and updating of their implementation plans.

3. The Parties shall endeavour to utilize and, where necessary, establish the means to integrate national implementation plans for persistent organic pollutants in their sustainable development strategies where appropriate.

Article 8

Listing of chemicals in Annexes A, B and C

1. A Party may submit a proposal to the Secretariat for listing a chemical in Annexes A, B and/or C. The proposal shall contain the information specified in Annex D. In developing a proposal, a Party may be assisted by other Parties and/or by the Secretariat.

2. The Secretariat shall verify whether the proposal contains the information specified in Annex D. If the Secretariat is satisfied that the proposal contains the information so specified, it shall forward the proposal to the Persistent Organic Pollutants Review Committee.

3. The Committee shall examine the proposal and apply the screening criteria specified in Annex D in a flexible and transparent way, taking all information provided into account in an integrative and balanced manner.

4. If the Committee decides that:

(a) It is satisfied that the screening criteria have been fulfilled, it shall, through the Secretariat, make the proposal and the evaluation of the Committee available to all Parties and observers and invite them to submit the information specified in Annex E; or

(b) It is not satisfied that the screening criteria have been fulfilled, it shall, through the Secretariat, inform all Parties and observers and make the proposal and the evaluation of the Committee available to all Parties and the proposal shall be set aside.

5. Any Party may resubmit a proposal to the Committee that has been set aside by the Committee pursuant to paragraph 4. The resubmission may include any concerns of the Party as well as a justification for additional consideration by the Committee. If, following this procedure, the Committee again sets the proposal aside, the Party may challenge the decision of the Committee and the Conference of the Parties shall consider the matter at its next session. The Conference of the Parties may decide, based on the screening criteria in Annex D and taking into account the evaluation of the Committee and any additional information provided by any Party or observer, that the proposal should proceed.

6. Where the Committee has decided that the screening criteria have been fulfilled, or the Conference of the Parties has decided that the proposal should proceed, the Committee shall further review the proposal, taking into account any relevant additional information received, and shall prepare a draft risk profile in accordance with Annex E. It shall, through the Secretariat, make that draft available to all Parties and observers, collect technical comments from them and, taking those comments into account, complete the risk profile.

7. If, on the basis of the risk profile conducted in accordance with Annex E, the Committee decides:

(a) That the chemical is likely as a result of its long-range environmental transport to lead to significant adverse human health and/or environmental effects such that global action is warranted, the proposal shall proceed. Lack of full scientific certainty shall not prevent the proposal from proceeding. The Committee shall, through the Secretariat, invite information from all Parties and observers relating to the considerations specified in Annex F. It shall then prepare a risk management evaluation that includes an analysis of possible control measures for the chemical in accordance with that Annex; or

(b) That the proposal should not proceed, it shall, through the Secretariat, make the risk profile available to all Parties and observers and set the proposal aside.

8. For any proposal set aside pursuant to paragraph 7 (b), a Party may request the Conference of the Parties to consider instructing the Committee to invite additional information from the proposing Party and other Parties during a period not to exceed one year. After that period and on the basis of any information received, the Committee shall reconsider the proposal pursuant to paragraph 6 with a priority to be decided by the Conference of the Parties. If, following this procedure, the Committee again sets the proposal aside, the Party may challenge the decision of the Committee and the Conference of the Parties shall consider the matter at its next session. The Conference of the Parties may decide, based on the risk profile prepared in accordance with Annex E and taking into account the evaluation of the Committee and any additional information provided by any Party or observer, that the proposal should proceed. If the Conference of the Parties decides that the proposal shall proceed, the Committee shall then prepare the risk management evaluation.

9. The Committee shall, based on the risk profile referred to in paragraph 6 and the risk management evaluation referred to in paragraph 7 (a) or paragraph 8, recommend whether the chemical should be considered by the Conference of the Parties for listing in Annexes A, B and/or C. The Conference of the Parties, taking due account of the recommendations of the Committee, including any scientific uncertainty, shall decide, in a precautionary manner, whether to list the chemical, and specify its related control measures, in Annexes A, B and/or C.

Article 9

Information exchange

1. Each Party shall facilitate or undertake the exchange of information relevant to:
 - (a) The reduction or elimination of the production, use and release of persistent organic pollutants; and
 - (b) Alternatives to persistent organic pollutants, including information relating to their risks as well as to their economic and social costs.
2. The Parties shall exchange the information referred to in paragraph 1 directly or through the Secretariat.
3. Each Party shall designate a national focal point for the exchange of such information.
4. The Secretariat shall serve as a clearing-house mechanism for information on persistent organic pollutants, including information provided by Parties, intergovernmental organizations and non-governmental organizations.
5. For the purposes of this Convention, information on health and safety of humans and the environment shall not be regarded as confidential. Parties that exchange other information pursuant to this Convention shall protect any confidential information as mutually agreed.

Article 10

Public information, awareness and education

1. Each Party shall, within its capabilities, promote and facilitate:
 - (a) Awareness among its policy and decision makers with regard to persistent organic pollutants;
 - (b) Provision to the public of all available information on persistent organic pollutants, taking into account paragraph 5 of Article 9;
 - (c) Development and implementation, especially for women, children and the least educated, of educational and public awareness programmes on persistent organic pollutants, as well as on their health and environmental effects and on their alternatives;
 - (d) Public participation in addressing persistent organic pollutants and their health and environmental effects and in developing adequate responses, including opportunities for providing input at the national level regarding implementation of this Convention;
 - (e) Training of workers, scientists, educators and technical and managerial personnel;
 - (f) Development and exchange of educational and public awareness materials at the national and international levels; and

(g) Development and implementation of education and training programmes at the national and international levels.

2. Each Party shall, within its capabilities, ensure that the public has access to the public information referred to in paragraph 1 and that the information is kept up-to-date.

3. Each Party shall, within its capabilities, encourage industry and professional users to promote and facilitate the provision of the information referred to in paragraph 1 at the national level and, as appropriate, subregional, regional and global levels.

4. In providing information on persistent organic pollutants and their alternatives, Parties may use safety data sheets, reports, mass media and other means of communication, and may establish information centres at national and regional levels.

5. 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 that are released or disposed of.

Article 11

Research, development and monitoring

1. 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, including on their:

- (a) Sources and releases into the environment;
- (b) Presence, levels and trends in humans and the environment;
- (c) Environmental transport, fate and transformation;
- (d) Effects on human health and the environment;
- (e) Socio-economic and cultural impacts;
- (f) Release reduction and/or elimination; and
- (g) Harmonized methodologies for making inventories of generating sources and analytical techniques for the measurement of releases.

2. In undertaking action under paragraph 1, the Parties shall, within their capabilities:

(a) Support and further develop, as appropriate, international programmes, networks and organizations aimed at defining, conducting, assessing and financing research, data collection and monitoring, taking into account the need to minimize duplication of effort;

(b) Support national and international efforts to strengthen national scientific and technical research capabilities, particularly in developing countries and countries with economies in transition, and to promote access to, and the exchange of, data and analyses;

(c) Take into account the concerns and needs, particularly in the field of financial and technical resources, of developing countries and countries with economies in transition and cooperate in improving their capability to participate in the efforts referred to in subparagraphs (a) and (b);

(d) Undertake research work geared towards alleviating the effects of persistent organic pollutants on reproductive health;

(e) Make the results of their research, development and monitoring activities referred to in this paragraph accessible to the public on a timely and regular basis; and

(f) Encourage and/or undertake cooperation with regard to storage and maintenance of information generated from research, development and monitoring.

Article 12

Technical assistance

1. The Parties recognize that rendering of timely and appropriate technical assistance in response to requests from developing country Parties and Parties with economies in transition is essential to the successful implementation of this Convention.

2. 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.

3. In this regard, technical assistance to be provided by developed country Parties, and other Parties in accordance with their capabilities, shall include, as appropriate and as mutually agreed, technical assistance for capacity-building relating to implementation of the obligations under this Convention. Further guidance in this regard shall be provided by the Conference of the Parties.

4. The Parties shall establish, as appropriate, arrangements for the purpose of providing technical assistance and promoting the transfer of technology to developing country Parties and Parties with economies in transition relating to the implementation of this Convention. These arrangements shall include regional and subregional centres for capacity-building and transfer of technology to assist developing country Parties and Parties with economies in transition to fulfil their obligations under this Convention. Further guidance in this regard shall be provided by the Conference of the Parties.

5. The Parties shall, in the context of this Article, take full account of the specific needs and special situation of least developed countries and small island developing states in their actions with regard to technical assistance.

Article 13

Financial resources and mechanisms

1. Each Party undertakes to provide, within its capabilities, financial support and incentives in respect of those national activities that are intended to achieve the objective of this Convention in accordance with its national plans, priorities and programmes.

2. The 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 which fulfill their obligations under this Convention as agreed between a recipient Party and an entity participating in the mechanism described in paragraph 6. Other Parties may also on a voluntary basis and in accordance with their capabilities provide such financial resources.

Contributions from other sources should also be encouraged. The implementation of these commitments shall take into account the need for adequacy, predictability, the timely flow of funds and the importance of burden sharing among the contributing Parties.

3. Developed country Parties, and other Parties in accordance with their capabilities and in accordance with their national plans, priorities and programmes, may also provide and developing country Parties and Parties with economies in transition avail themselves of financial resources to assist in their implementation of this Convention through other bilateral, regional and multilateral sources or channels.

4. The extent to which the developing country Parties will effectively implement their commitments under this Convention will depend on the effective implementation by developed country Parties of their commitments under this Convention relating to financial resources, technical assistance and technology transfer. The fact that sustainable economic and social development and eradication of poverty are the first and overriding priorities of the developing country Parties will be taken fully into account, giving due consideration to the need for the protection of human health and the environment.

5. The Parties shall take full account of the specific needs and special situation of the least developed countries and the small island developing states in their actions with regard to funding.

6. A mechanism for the provision of adequate and sustainable financial resources to developing country Parties and Parties with economies in transition on a grant or concessional basis to assist in their implementation of the Convention is hereby defined. The mechanism shall function under the authority, as appropriate, and guidance of, and be accountable to the Conference of the Parties for the purposes of this Convention. Its operation shall be entrusted to one or more entities, including existing international entities, as may be decided upon by the Conference of the Parties. The mechanism may also include other entities providing multilateral, regional and bilateral financial and technical assistance. Contributions to the mechanism shall be additional to other financial transfers to developing country Parties and Parties with economies in transition as reflected in, and in accordance with, paragraph 2.

7. Pursuant to the objectives of this Convention and paragraph 6, the Conference of the Parties shall at its first meeting adopt appropriate guidance to be provided to the mechanism and shall agree with the entity or entities participating in the financial mechanism upon arrangements to give effect thereto. The guidance shall address, inter alia:

(a) The determination of the policy, strategy and programme priorities, as well as clear and detailed criteria and guidelines regarding eligibility for access to and utilization of financial resources including monitoring and evaluation on a regular basis of such utilization;

(b) The provision by the entity or entities of regular reports to the Conference of the Parties on adequacy and sustainability of funding for activities relevant to the implementation of this Convention;

(c) The promotion of multiple-source funding approaches, mechanisms and arrangements;

(d) The modalities for the determination in a predictable and identifiable manner of the amount of funding necessary and available for the implementation of this Convention, keeping in mind that the phasing out of persistent organic pollutants might require sustained funding, and the conditions under which that amount shall be periodically reviewed; and

(e) The modalities for the provision to interested Parties of assistance with needs assessment, information on available sources of funds and on funding patterns in order to facilitate coordination among them.

8. The Conference of the Parties shall review, not later than its second meeting and thereafter on a regular basis, the effectiveness of the mechanism established under this Article, its ability to address the changing needs

of the developing country Parties and Parties with economies in transition, the criteria and guidance referred to in paragraph 7, the level of funding as well as the effectiveness of the performance of the institutional entities entrusted to operate the financial mechanism. It shall, based on such review, take appropriate action, if necessary, to improve the effectiveness of the mechanism, including by means of recommendations and guidance on measures to ensure adequate and sustainable funding to meet the needs of the Parties.

Article 14

Interim financial arrangements

The institutional structure of the Global Environment Facility, operated in accordance with the Instrument for the Establishment of the Restructured Global Environment Facility, shall, on an interim basis, be the principal entity entrusted with the operations of the financial mechanism referred to in Article 13, for the period between the date of entry into force of this Convention and the first meeting of the Conference of the Parties, or until such time as the Conference of the Parties decides which institutional structure will be designated in accordance with Article 13. The institutional structure of the Global Environment Facility should fulfill this function through operational measures related specifically to persistent organic pollutants taking into account that new arrangements for this area may be needed.

Article 15

Reporting

1. Each Party shall report to the Conference of the Parties on the measures it has taken to implement the provisions of this Convention and on the effectiveness of such measures in meeting the objectives of the Convention.
2. Each Party shall provide to the Secretariat:
 - (a) Statistical data on its total quantities of production, import and export of each of the chemicals listed in Annex A and Annex B or a reasonable estimate of such data; and
 - (b) To the extent practicable, a list of the States from which it has imported each such substance and the States to which it has exported each such substance.
3. Such reporting shall be at periodic intervals and in a format to be decided by the Conference of the Parties at its first meeting.

Article 16

Effectiveness evaluation.

1. Commencing four years after the date of entry into force of this Convention, and periodically thereafter at intervals to be decided by the Conference of the Parties, the Conference shall evaluate the effectiveness of this Convention.
2. In order to facilitate such evaluation, the Conference of the Parties shall, at its first meeting, initiate the establishment of arrangements to provide itself with comparable monitoring data on the presence of the chemicals listed in Annexes A, B and C as well as their regional and global environmental transport. These arrangements:
 - (a) Should be implemented by the Parties on a regional basis when appropriate, in accordance with their technical and financial capabilities, using existing monitoring programmes and mechanisms to the extent possible and promoting harmonization of approaches;

(b) May be supplemented where necessary, taking into account the differences between regions and their capabilities to implement monitoring activities; and

(c) Shall include reports to the Conference of the Parties on the results of the monitoring activities on a regional and global basis at intervals to be specified by the Conference of the Parties.

3. The evaluation described in paragraph 1 shall be conducted on the basis of available scientific, environmental, technical and economic information, including:

- (a) Reports and other monitoring information provided pursuant to paragraph 2;
- (b) National reports submitted pursuant to Article 15; and
- (c) Non-compliance information provided pursuant to the procedures established under Article 17.

Article 17

Non-compliance

The Conference of the Parties shall, as soon as practicable, develop and approve procedures and institutional mechanisms for determining non-compliance with the provisions of this Convention and for the treatment of Parties found to be in non-compliance.

Article 18

Settlement of disputes

1. Parties shall settle any dispute between them concerning the interpretation or application of this Convention through negotiation or other peaceful means of their own choice.

2. When ratifying, accepting, approving or acceding to the Convention, or at any time thereafter, a Party that is not a regional economic integration organization may declare in a written instrument submitted to the depositary that, with respect to any dispute concerning the interpretation or application of the Convention, it recognizes one or both of the following means of dispute settlement as compulsory in relation to any Party accepting the same obligation:

(a) Arbitration in accordance with procedures to be adopted by the Conference of the Parties in an annex as soon as practicable;

(b) Submission of the dispute to the International Court of Justice.

3. A Party that is a regional economic integration organization may make a declaration with like effect in relation to arbitration in accordance with the procedure referred to in paragraph 2 (a).

4. A declaration made pursuant to paragraph 2 or paragraph 3 shall remain in force until it expires in accordance with its terms or until three months after written notice of its revocation has been deposited with the depositary.

5. The expiry of a declaration, a notice of revocation or a new declaration shall not in any way affect proceedings pending before an arbitral tribunal or the International Court of Justice unless the parties to the dispute otherwise agree.

6. If the parties to a dispute have not accepted the same or any procedure pursuant to paragraph 2, and if they have not been able to settle their dispute within twelve months following notification by one party to another that a dispute exists between them, the dispute shall be submitted to a conciliation commission at the

request of any party to the dispute. The conciliation commission shall render a report with recommendations. Additional procedures relating to the conciliation commission shall be included in an annex to be adopted by the Conference of the Parties no later than at its second meeting.

Article 19

Conference of the Parties

1. A Conference of the Parties is hereby established.
2. The first meeting of the Conference of the Parties shall be convened by the Executive Director of the United Nations Environment Programme no later than one year after the entry into force of this Convention. Thereafter, ordinary meetings of the Conference of the Parties shall be held at regular intervals to be decided by the Conference.
3. Extraordinary meetings of the Conference of the Parties shall be held at such other times as may be deemed necessary by the Conference, or at the written request of any Party provided that it is supported by at least one third of the Parties.
4. The Conference of the Parties shall by consensus agree upon and adopt at its first meeting rules of procedure and financial rules for itself and any subsidiary bodies, as well as financial provisions governing the functioning of the Secretariat.
5. The Conference of the Parties shall keep under continuous review and evaluation the implementation of this Convention. It shall perform the functions assigned to it by the Convention and, to this end, shall:
 - (a) Establish, further to the requirements of paragraph 6, such subsidiary bodies as it considers necessary for the implementation of the Convention;
 - (b) Cooperate, where appropriate, with competent international organizations and intergovernmental and non-governmental bodies; and
 - (c) Regularly review all information made available to the Parties pursuant to Article 15, including consideration of the effectiveness of paragraph 2 (b) (iii) of Article 3;
 - (d) Consider and undertake any additional action that may be required for the achievement of the objectives of the Convention.
6. The Conference of the Parties shall, at its first meeting, establish a subsidiary body to be called the Persistent Organic Pollutants Review Committee for the purposes of performing the functions assigned to that Committee by this Convention. In this regard:
 - (a) The members of the Persistent Organic Pollutants Review Committee shall be appointed by the Conference of the Parties. Membership of the Committee shall consist of government-designated experts in chemical assessment or management. The members of the Committee shall be appointed on the basis of equitable geographical distribution;
 - (b) The Conference of the Parties shall decide on the terms of reference, organization and operation of the Committee; and
 - (c) The Committee shall make every effort to adopt its recommendations by consensus. If all efforts at consensus have been exhausted, and no consensus reached, such recommendation shall as a last resort be adopted by a two-thirds majority vote of the members present and voting.

7. The Conference of the Parties shall, at its third meeting, evaluate the continued need for the procedure contained in paragraph 2 (b) of Article 3, including consideration of its effectiveness.

8. The United Nations, its specialized agencies and the International Atomic Energy Agency, as well as any State not Party to this Convention, may be represented at meetings of the Conference of the Parties as observers. Any body or agency, whether national or international, governmental or non-governmental, qualified in matters covered by the Convention, and which has informed the Secretariat of its wish to be represented at a meeting of the Conference of the Parties as an observer may be admitted unless at least one third of the Parties present object. The admission and participation of observers shall be subject to the rules of procedure adopted by the Conference of the Parties.

Article 20

Secretariat

1. A Secretariat is hereby established.

2. The functions of the Secretariat shall be:

(a) To make arrangements for meetings of the Conference of the Parties and its subsidiary bodies and to provide them with services as required;

(b) To facilitate assistance to the Parties, particularly developing country Parties and Parties with economies in transition, on request, in the implementation of this Convention;

(c) To ensure the necessary coordination with the secretariats of other relevant international bodies;

(d) To prepare and make available to the Parties periodic reports based on information received pursuant to Article 15 and other available information;

(e) To enter, under the overall guidance of the Conference of the Parties, into such administrative and contractual arrangements as may be required for the effective discharge of its functions; and

(f) To perform the other secretariat functions specified in this Convention and such other functions as may be determined by the Conference of the Parties.

3. The secretariat functions for this Convention shall be performed by the Executive Director of the United Nations Environment Programme, unless the Conference of the Parties decides, by a three-fourths majority of the Parties present and voting, to entrust the secretariat functions to one or more other international organizations.

Article 21

Amendments to the Convention

1. Amendments to this Convention may be proposed by any Party.

2. Amendments to this Convention shall be adopted at a meeting of the Conference of the Parties. The text of any proposed amendment shall be communicated to the Parties by the Secretariat at least six months before the meeting at which it is proposed for adoption. The Secretariat shall also communicate proposed amendments to the signatories to this Convention and, for information, to the depositary.

3. The Parties shall make every effort to reach agreement on any proposed amendment to this Convention by consensus. If all efforts at consensus have been exhausted, and no agreement reached, the amendment shall as a last resort be adopted by a three-fourths majority vote of the Parties present and voting.
4. The amendment shall be communicated by the depositary to all Parties for ratification, acceptance or approval.
5. Ratification, acceptance or approval of an amendment shall be notified to the depositary in writing. An amendment adopted in accordance with paragraph 3 shall enter into force for the Parties having accepted it on the ninetieth day after the date of deposit of instruments of ratification, acceptance or approval by at least three-fourths of the Parties. Thereafter, the amendment shall enter into force for any other Party on the ninetieth day after the date on which that Party deposits its instrument of ratification, acceptance or approval of the amendment.

Article 22

Adoption and amendment of annexes

1. Annexes to this Convention shall form an integral part thereof and, unless expressly provided otherwise, a reference to this Convention constitutes at the same time a reference to any annexes thereto.
2. Any additional annexes shall be restricted to procedural, scientific, technical or administrative matters.
3. The following procedure shall apply to the proposal, adoption and entry into force of additional annexes to this Convention:
 - (a) Additional annexes shall be proposed and adopted according to the procedure laid down in paragraphs 1, 2 and 3 of Article 21;
 - (b) Any Party that is unable to accept an additional annex shall so notify the depositary, in writing, within one year from the date of communication by the depositary of the adoption of the additional annex. The depositary shall without delay notify all Parties of any such notification received. A Party may at any time withdraw a previous notification of non-acceptance in respect of any additional annex, and the annex shall thereupon enter into force for that Party subject to subparagraph (c); and
 - (c) On the expiry of one year from the date of the communication by the depositary of the adoption of an additional annex, the annex shall enter into force for all Parties that have not submitted a notification in accordance with the provisions of subparagraph (b).
4. The proposal, adoption and entry into force of amendments to Annex A, B or C shall be subject to the same procedures as for the proposal, adoption and entry into force of additional annexes to this Convention, except that an amendment to Annex A, B or C shall not enter into force with respect to any Party that has made a declaration with respect to amendment to those Annexes in accordance with paragraph 4 of Article 25, in which case any such amendment shall enter into force for such a Party on the ninetieth day after the date of deposit with the depositary of its instrument of ratification, acceptance, approval or accession with respect to such amendment.
5. The following procedure shall apply to the proposal, adoption and entry into force of an amendment to Annex D, E or F:
 - (a) Amendments shall be proposed according to the procedure in paragraphs 1 and 2 of Article 21;
 - (b) The Parties shall take decisions on an amendment to Annex D, E or F by consensus; and

(c) A decision to amend Annex D, E or F shall forthwith be communicated to the Parties by the depositary. The amendment shall enter into force for all Parties on a date to be specified in the decision.

6. If an additional annex or an amendment to an annex is related to an amendment to this Convention, the additional annex or amendment shall not enter into force until such time as the amendment to the Convention enters into force.

Article 23

Right to vote

1. Each Party to this Convention shall have one vote, except as provided for in paragraph 2.
2. A regional economic integration organization, on matters within its competence, shall exercise its right to vote with a number of votes equal to the number of its member States that are Parties to this Convention. Such an organization shall not exercise its right to vote if any of its member States exercises its right to vote, and vice versa.

Article 24

Signature

This Convention shall be open for signature at Stockholm by all States and regional economic integration organizations on 23 May 2001, and at the United Nations Headquarters in New York from 24 May 2001 to 22 May 2002.

Article 25

Ratification, acceptance, approval or accession

1. This Convention shall be subject to ratification, acceptance or approval by States and by regional economic integration organizations. It shall be open for accession by States and by regional economic integration organizations from the day after the date on which the Convention is closed for signature. Instruments of ratification, acceptance, approval or accession shall be deposited with the depositary.
2. Any regional economic integration organization that becomes a Party to this Convention without any of its member States being a Party shall be bound by all the obligations under the Convention. In the case of such organizations, one or more of whose member States is a Party to this Convention, the organization and its member States shall decide on their respective responsibilities for the performance of their obligations under the Convention. In such cases, the organization and the member States shall not be entitled to exercise rights under the Convention concurrently.
3. In its instrument of ratification, acceptance, approval or accession, a regional economic integration organization shall declare the extent of its competence in respect of the matters governed by this Convention. Any such organization shall also inform the depositary, who shall in turn inform the Parties, of any relevant modification in the extent of its competence.

4. In its instrument of ratification, acceptance, approval or accession, any Party may declare that, with respect to it, any amendment to Annex A, B or C shall enter into force only upon the deposit of its instrument of ratification, acceptance, approval or accession with respect thereto.

Article 26

Entry into force

1. This Convention shall enter into force on the ninetieth day after the date of deposit of the fiftieth instrument of ratification, acceptance, approval or accession.
2. For each State or regional economic integration organization that ratifies, accepts or approves this Convention or accedes thereto after the deposit of the fiftieth instrument of ratification, acceptance, approval or accession, the Convention shall enter into force on the ninetieth day after the date of deposit by such State or regional economic integration organization of its instrument of ratification, acceptance, approval or accession.
3. For the purpose of paragraphs 1 and 2, any instrument deposited by a regional economic integration organization shall not be counted as additional to those deposited by member States of that organization.

Article 27

Reservations

No reservations may be made to this Convention.

Article 28

Withdrawal

1. At any time after three years from the date on which this Convention has entered into force for a Party, that Party may withdraw from the Convention by giving written notification to the depositary.
2. Any such withdrawal shall take effect upon the expiry of one year from the date of receipt by the depositary of the notification of withdrawal, or on such later date as may be specified in the notification of withdrawal.

Article 29

Depositary

The Secretary-General of the United Nations shall be the depositary of this Convention.

Article 30

Authentic texts

The original of this Convention, of which the Arabic, Chinese, English, French, Russian and Spanish texts are equally authentic, shall be deposited with the Secretary-General of the United Nations.

IN WITNESS WHEREOF the undersigned, being duly authorized to that effect, have signed this Convention.

Done at Stockholm on this twenty-second day of May, two thousand and one.

Annex A
ELIMINATION
Part I

Chemical	Activity	Specific exemption
Aldrin* CAS No: 309-00-2	Production	None
	Use	Local ectoparasiticide Insecticide
Chlordane* CAS No: 57-74-9	Production	As allowed for the Parties listed in the Register
	Use	Local ectoparasiticide Insecticide Termiticide Termiticide in buildings and dams Termiticide in roads Additive in plywood adhesives
Dieldrin* CAS No: 60-57-1	Production	None
	Use	In agricultural operations
Endrin* CAS No: 72-20-8	Production	None
	Use	None
Heptachlor* CAS No: 76-44-8	Production	None
	Use	Termiticide Termiticide in structures of houses Termiticide (subterranean) Wood treatment In use in underground cable boxes
Hexachlorobenzene CAS No: 118-74-1	Production	As allowed for the Parties listed in the Register
	Use	Intermediate Solvent in pesticide Closed system site limited intermediate
Mirex* CAS No: 2385-85-5	Production	As allowed for the Parties listed in the Register
	Use	Termiticide
Toxaphene* CAS No: 8001-35-2	Production	None
	Use	None
Polychlorinated Biphenyls (PCB)*	Production	None
	Use	Articles in use in accordance with the provisions of Part II of this Annex

Notes:

- (i) Except as otherwise specified in this Convention, quantities of a chemical occurring as unintentional trace contaminants in products and articles shall not be considered to be listed in this Annex;
- (ii) This note shall not be considered as a production and use specific exemption for purposes of paragraph 2 of Article 3. Quantities of a chemical occurring as constituents of articles manufactured or already in use before or on the date of entry into force of the relevant obligation with respect to that chemical, shall not be considered as listed in this Annex, provided that a Party has notified the Secretariat that a particular type of article remains in use within that Party. The Secretariat shall make such notifications publicly available;
- (iii) This note, which does not apply to a chemical that has an asterisk following its name in the Chemical column in Part I of this Annex, shall not be considered as a production and use specific exemption for purposes of paragraph 2 of Article 3. Given that no significant quantities of the chemical are expected to reach humans and the environment during the production and use of a closed-system site-limited intermediate, a Party, upon notification to the Secretariat, may allow the production and use of quantities of a chemical listed in this Annex as a closed-system site-limited intermediate that is chemically transformed in the manufacture of other chemicals that, taking into consideration the criteria in paragraph 1 of Annex D, do not exhibit the characteristics of persistent organic pollutants. This notification shall include information on total production and use of such chemical or a reasonable estimate of such information and information regarding the nature of the closed-system site-limited process including the amount of any non-transformed and unintentional trace contamination of the persistent organic pollutant-starting material in the final product. This procedure applies except as otherwise specified in this Annex. The Secretariat shall make such notifications available to the Conference of the Parties and to the public. Such production or use shall not be considered a production or use specific exemption. Such production and use shall cease after a ten-year period, unless the Party concerned submits a new notification to the Secretariat, in which case the period will be extended for an additional ten years unless the Conference of the Parties, after a review of the production and use decides otherwise. The notification procedure can be repeated;
- (iv) All the specific exemptions in this Annex may be exercised by Parties that have registered exemptions in respect of them in accordance with Article 4 with the exception of the use of polychlorinated biphenyls in articles in use in accordance with the provisions of Part II of this Annex, which may be exercised by all Parties.

Part II
Polychlorinated biphenyls

Each Party shall:

- (a) With regard to the elimination of the use of polychlorinated biphenyls in equipment (e.g. transformers, capacitors or other receptacles containing liquid stocks) by 2025, subject to review by the Conference of the Parties, take action in accordance with the following priorities:
- (i) Make determined efforts to identify, label and remove from use equipment containing greater than 10 per cent polychlorinated biphenyls and volumes greater than 5 litres;
 - (ii) Make determined efforts to identify, label and remove from use equipment containing greater than 0.05 per cent polychlorinated biphenyls and volumes greater than 5 litres;
 - (iii) Endeavour to identify and remove from use equipment containing greater than 0.005 percent polychlorinated biphenyls and volumes greater than 0.05 litres;
- (b) Consistent with the priorities in subparagraph (a), promote the following measures to reduce exposures and risk to control the use of polychlorinated biphenyls:
- (i) Use only in intact and non-leaking equipment and only in areas where the risk from environmental release can be minimised and quickly remedied;
 - (ii) Not use in equipment in areas associated with the production or processing of food or feed;
 - (iii) When used in populated areas, including schools and hospitals, all reasonable measures to protect from electrical failure which could result in a fire, and regular inspection of equipment for leaks;
- (c) Notwithstanding paragraph 2 of Article 3, ensure that equipment containing polychlorinated biphenyls, as described in subparagraph (a), shall not be exported or imported except for the purpose of environmentally sound waste management;
- (d) Except for maintenance and servicing operations, not allow recovery for the purpose of reuse in other equipment of liquids with polychlorinated biphenyls content above 0.005 per cent;
- (e) Make determined efforts designed to lead to environmentally sound waste management of liquids containing polychlorinated biphenyls and equipment contaminated with polychlorinated biphenyls having a polychlorinated biphenyls content above 0.005 per cent, in accordance with paragraph 1 of Article 6, as soon as possible but no later than 2028, subject to review by the Conference of the Parties;
- (f) In lieu of note (ii) in Part I of this Annex, endeavour to identify other articles containing more than 0.005 per cent polychlorinated biphenyls (e.g. cable-sheaths, cured caulk and painted objects) and manage them in accordance with paragraph 1 of Article 6;
- (g) Provide a report every five years on progress in eliminating polychlorinated biphenyls and submit it to the Conference of the Parties pursuant to Article 15;
- (h) The reports described in subparagraph (g) shall, as appropriate, be considered by the Conference of the Parties in its reviews relating to polychlorinated biphenyls. The Conference of the Parties shall review progress towards elimination of polychlorinated biphenyls at five year intervals or other period, as appropriate, taking into account such reports.

Annex B

RESTRICTION

Part I

Chemical	Activity	Acceptable purpose or specific exemption
DDT (1,1,1-trichloro-2,2-bis(4-chlorophenyl)ethane) CAS No: 50-29-3	Production	Acceptable purpose: Disease vector control use in accordance with Part II of this Annex Specific exemption: Intermediate in production of dicofol Intermediate
	Use	Acceptable purpose: Disease vector control in accordance with Part II of this Annex Specific exemption: Production of dicofol Intermediate

Notes:

- (i) Except as otherwise specified in this Convention, quantities of a chemical occurring as unintentional trace contaminants in products and articles shall not be considered to be listed in this Annex;
- (ii) This note shall not be considered as a production and use acceptable purpose or specific exemption for purposes of paragraph 2 of Article 3. Quantities of a chemical occurring as constituents of articles manufactured or already in use before or on the date of entry into force of the relevant obligation with respect to that chemical, shall not be considered as listed in this Annex, provided that a Party has notified the Secretariat that a particular type of article remains in use within that Party. The Secretariat shall make such notifications publicly available;
- (iii) This note shall not be considered as a production and use specific exemption for purposes of paragraph 2 of Article 3. Given that no significant quantities of the chemical are expected to reach humans and the environment during the production and use of a closed-system site-limited intermediate, a Party, upon notification to the Secretariat, may allow the production and use of quantities of a chemical listed in this Annex as a closed-system site-limited intermediate that is chemically transformed in the manufacture of other chemicals that, taking into consideration the criteria in paragraph 1 of Annex D, do not exhibit the characteristics of persistent organic pollutants. This notification shall include information on total production and use of such chemical or a reasonable estimate of such information and information regarding the nature of the closed-system site-limited process including the amount of any non-transformed and unintentional trace contamination of the persistent organic pollutant-starting material in the final product. This procedure applies except as otherwise specified in this Annex. The Secretariat shall make such notifications available to the Conference of the Parties and to the public. Such production or use shall not be considered a production or use specific exemption. Such production and use shall cease after a ten-year period, unless the Party concerned submits a new notification to the Secretariat, in which case the period will be extended for an additional ten years unless the Conference of the Parties, after a review of the production and use decides otherwise. The notification procedure can be repeated;
- (iv) All the specific exemptions in this Annex may be exercised by Parties that have registered in respect of them in accordance with Article 4.

Part II

DDT (1,1,1-trichloro-2,2-bis(4-chlorophenyl)ethane)

1. The production and use of DDT shall be eliminated except for Parties that have notified the Secretariat of their intention to produce and/or use it. A DDT Register is hereby established and shall be available to the public. The Secretariat shall maintain the DDT Register.
2. Each Party that produces and/or uses DDT shall restrict such production and/or use for disease vector control in accordance with the World Health Organization recommendations and guidelines on the use of DDT and when locally safe, effective and affordable alternatives are not available to the Party in question.
3. In the event that a Party not listed in the DDT Register determines that it requires DDT for disease vector control, it shall notify the Secretariat as soon as possible in order to have its name added forthwith to the DDT Register. It shall at the same time notify the World Health Organization.
4. Every three years, each Party that uses DDT shall provide to the Secretariat and the World Health Organization information on the amount used, the conditions of such use and its relevance to that Party's disease management strategy, in a format to be decided by the Conference of the Parties in consultation with the World Health Organization.
5. With the goal of reducing and ultimately eliminating the use of DDT, the Conference of the Parties shall encourage:
 - (a) Each Party using DDT to develop and implement an action plan as part of the implementation plan specified in Article 7. That action plan shall include:
 - (i) Development of regulatory and other mechanisms to ensure that DDT use is restricted to disease vector control;
 - (ii) Implementation of suitable alternative products, methods and strategies, including resistance management strategies to ensure the continuing effectiveness of these alternatives;
 - (iii) Measures to strengthen health care and to reduce the incidence of the disease.
 - (b) The Parties, within their capabilities, to promote research and development of safe alternative chemical and non-chemical products, methods and strategies for Parties using DDT, relevant to the conditions of those countries and with the goal of decreasing the human and economic burden of disease. Factors to be promoted when considering alternatives or combinations of alternatives shall include the human health risks and environmental implications of such alternatives. Viable alternatives to DDT shall pose less risk to human health and the environment, be suitable for disease control based on conditions in the Parties in question and be supported with monitoring data.
6. Commencing at its first meeting, and at least every three years thereafter, the Conference of the Parties shall, in consultation with the World Health Organization, evaluate the continued need for DDT for disease vector control on the basis of available scientific, technical, environmental and economic information, including:
 - (a) The production and use of DDT and the conditions set out in paragraph 2;
 - (b) The availability, suitability and implementation of the alternatives to DDT; and

(c) Progress in strengthening the capacity of countries to transfer safely to reliance on such alternatives.

7. A Party may, at any time, withdraw its name from the DDT Registry upon written notification to the Secretariat. The withdrawal shall take effect on the date specified in the notification.

Annex C

UNINTENTIONAL PRODUCTION

Part I: Persistent organic pollutants subject to the requirements of Article 5

This Annex applies to the following persistent organic pollutants when formed and released unintentionally from anthropogenic sources:

Chemical
Polychlorinated dibenzo-p-dioxins and dibenzofurans (PCDD/PCDF) Hexachlorobenzene (HCB) (CAS No: 118-74-1) Polychlorinated biphenyls (PCB)

Part II: Source categories

Polychlorinated dibenzo-p-dioxins and dibenzofurans, hexachlorobenzene and polychlorinated biphenyls are unintentionally formed and released from thermal processes involving organic matter and chlorine as a result of incomplete combustion or chemical reactions. The following industrial source categories have the potential for comparatively high formation and release of these chemicals to the environment:

- (a) Waste incinerators, including co-incinerators of municipal, hazardous or medical waste or of sewage sludge;
- (b) Cement kilns firing hazardous waste;
- (c) Production of pulp using elemental chlorine or chemicals generating elemental chlorine for bleaching;
- (d) The following thermal processes in the metallurgical industry:
 - (i) Secondary copper production;
 - (ii) Sinter plants in the iron and steel industry;
 - (iii) Secondary aluminium production;
 - (iv) Secondary zinc production.

Part III: Source categories

Polychlorinated dibenzo-p-dioxins and dibenzofurans, hexachlorobenzene and polychlorinated biphenyls may also be unintentionally formed and released from the following source categories, including:

- (a) Open burning of waste, including burning of landfill sites;
- (b) Thermal processes in the metallurgical industry not mentioned in Part II;
- (c) Residential combustion sources;
- (d) Fossil fuel-fired utility and industrial boilers;
- (e) Firing installations for wood and other biomass fuels;

- (f) Specific chemical production processes releasing unintentionally formed persistent organic pollutants, especially production of chlorophenols and chloranil;
- (g) Crematoria;
- (h) Motor vehicles, particularly those burning leaded gasoline;
- (i) Destruction of animal carcasses;
- (j) Textile and leather dyeing (with chloranil) and finishing (with alkaline extraction);
- (k) Shredder plants for the treatment of end of life vehicles;
- (l) Smouldering of copper cables;
- (m) Waste oil refineries.

Part IV: Definitions

1. For the purposes of this Annex:

(a) "Polychlorinated biphenyls" means aromatic compounds formed in such a manner that the hydrogen atoms on the biphenyl molecule (two benzene rings bonded together by a single carbon-carbon bond) may be replaced by up to ten chlorine atoms; and

(b) "Polychlorinated dibenzo-p-dioxins" and "polychlorinated dibenzofurans" are tricyclic, aromatic compounds formed by two benzene rings connected by two oxygen atoms in polychlorinated dibenzo-p-dioxins and by one oxygen atom and one carbon-carbon bond in polychlorinated dibenzofurans and the hydrogen atoms of which may be replaced by up to eight chlorine atoms.

2. In this Annex, the toxicity of polychlorinated dibenzo-p-dioxins and dibenzofurans is expressed using the concept of toxic equivalency which measures the relative dioxin-like toxic activity of different congeners of polychlorinated dibenzo-p-dioxins and dibenzofurans and coplanar polychlorinated biphenyls in comparison to 2,3,7,8-tetrachlorodibenzo-p-dioxin. The toxic equivalent factor values to be used for the purposes of this Convention shall be consistent with accepted international standards, commencing with the World Health Organization 1998 mammalian toxic equivalent factor values for polychlorinated dibenzo-p-dioxins and dibenzofurans and coplanar polychlorinated biphenyls. Concentrations are expressed in toxic equivalents.

Part V: General guidance on best available techniques and best environmental practices

This Part provides general guidance to Parties on preventing or reducing releases of the chemicals listed in Part I.

A. General prevention measures relating to both best available techniques and best environmental practices

Priority should be given to the consideration of approaches to prevent the formation and release of the chemicals listed in Part I. Useful measures could include:

- (a) The use of low-waste technology;
- (b) The use of less hazardous substances;

- (c) The promotion of the recovery and recycling of waste and of substances generated and used in a process;
- (d) Replacement of feed materials which are persistent organic pollutants or where there is a direct link between the materials and releases of persistent organic pollutants from the source;
- (e) Good housekeeping and preventive maintenance programmes;
- (f) Improvements in waste management with the aim of the cessation of open and other uncontrolled burning of wastes, including the burning of landfill sites. When considering proposals to construct new waste disposal facilities, consideration should be given to alternatives such as activities to minimize the generation of municipal and medical waste, including resource recovery, reuse, recycling, waste separation and promoting products that generate less waste. Under this approach, public health concerns should be carefully considered;
- (g) Minimization of these chemicals as contaminants in products;
- (h) Avoiding elemental chlorine or chemicals generating elemental chlorine for bleaching.

B. Best available techniques

The concept of best available techniques is not aimed at the prescription of any specific technique or technology, but at taking into account the technical characteristics of the installation concerned, its geographical location and the local environmental conditions. Appropriate control techniques to reduce releases of the chemicals listed in Part I are in general the same. In determining best available techniques, special consideration should be given, generally or in specific cases, to the following factors, bearing in mind the likely costs and benefits of a measure and consideration of precaution and prevention:

- (a) General considerations:
 - (i) The nature, effects and mass of the releases concerned: techniques may vary depending on source size;
 - (ii) The commissioning dates for new or existing installations;
 - (iii) The time needed to introduce the best available technique;
 - (iv) The consumption and nature of raw materials used in the process and its energy efficiency;
 - (v) The need to prevent or reduce to a minimum the overall impact of the releases to the environment and the risks to it;
 - (vi) The need to prevent accidents and to minimize their consequences for the environment;
 - (vii) The need to ensure occupational health and safety at workplaces;
 - (viii) Comparable processes, facilities or methods of operation which have been tried with success on an industrial scale;
 - (ix) Technological advances and changes in scientific knowledge and understanding.

(b) General release reduction measures: When considering proposals to construct new facilities or significantly modify existing facilities using processes that release chemicals listed in this Annex, priority consideration should be given to alternative processes, techniques or practices that have similar usefulness but which avoid the formation and release of such chemicals. In cases where such facilities will be constructed or significantly modified, in addition to the prevention measures outlined in section A of Part V the following reduction measures could also be considered in determining best available techniques:

- (i) Use of improved methods for flue-gas cleaning such as thermal or catalytic oxidation, dust precipitation, or adsorption;
- (ii) Treatment of residuals, wastewater, wastes and sewage sludge by, for example, thermal treatment or rendering them inert or chemical processes that detoxify them;
- (iii) Process changes that lead to the reduction or elimination of releases, such as moving to closed systems;
- (iv) Modification of process designs to improve combustion and prevent formation of the chemicals listed in this Annex, through the control of parameters such as incineration temperature or residence time.

C. Best environmental practices

The Conference of the Parties may develop guidance with regard to best environmental practices.

Annex D

INFORMATION REQUIREMENTS AND SCREENING CRITERIA

1. A Party submitting a proposal to list a chemical in Annexes A, B and/or C shall identify the chemical in the manner described in subparagraph (a) and provide the information on the chemical, and its transformation products where relevant, relating to the screening criteria set out in subparagraphs (b) to (e):

- (a) Chemical identity:
 - (i) Names, including trade name or names, commercial name or names and synonyms, Chemical Abstracts Service (CAS) Registry number, International Union of Pure and Applied Chemistry (IUPAC) name; and
 - (ii) Structure, including specification of isomers, where applicable, and the structure of the chemical class;
- (b) Persistence:
 - (i) Evidence that the half-life of the chemical in water is greater than two months, or that its half-life in soil is greater than six months, or that its half-life in sediment is greater than six months; or
 - (ii) Evidence that the chemical is otherwise sufficiently persistent to justify its consideration within the scope of this Convention;
- (c) Bio-accumulation:
 - (i) Evidence that the bio-concentration factor or bio-accumulation factor in aquatic species for the chemical is greater than 5,000 or, in the absence of such data, that the log Kow is greater than 5;
 - (ii) Evidence that a chemical presents other reasons for concern, such as high bio-accumulation in other species, high toxicity or ecotoxicity; or
 - (iii) Monitoring data in biota indicating that the bio-accumulation potential of the chemical is sufficient to justify its consideration within the scope of this Convention;
- (d) Potential for long-range environmental transport:
 - (i) Measured levels of the chemical in locations distant from the sources of its release that are of potential concern;
 - (ii) Monitoring data showing that long-range environmental transport of the chemical, with the potential for transfer to a receiving environment, may have occurred via air, water or migratory species; or
 - (iii) Environmental fate properties and/or model results that demonstrate that the chemical has a potential for long-range environmental transport through air, water or migratory species, with the potential for transfer to a receiving environment in locations distant from the sources of its release. For a chemical that migrates significantly through the air, its half-life in air should be greater than two days; and

- (e) Adverse effects:
- (i) Evidence of adverse effects to human health or to the environment that justifies consideration of the chemical within the scope of this Convention; or
 - (ii) Toxicity or ecotoxicity data that indicate the potential for damage to human health or to the environment.

2. The proposing Party shall provide a statement of the reasons for concern including, where possible, a comparison of toxicity or ecotoxicity data with detected or predicted levels of a chemical resulting or anticipated from its long-range environmental transport, and a short statement indicating the need for global control.

3. The proposing Party shall, to the extent possible and taking into account its capabilities, provide additional information to support the review of the proposal referred to in paragraph 6 of Article 8. In developing such a proposal, a Party may draw on technical expertise from any source.

Annex E

INFORMATION REQUIREMENTS FOR THE RISK PROFILE

The purpose of the review is to evaluate whether the chemical is likely, as a result of its long-range environmental transport, to lead to significant adverse human health and/or environmental effects, such that global action is warranted. For this purpose, a risk profile shall be developed that further elaborates on, and evaluates, the information referred to in Annex D and includes, as far as possible, the following types of information:

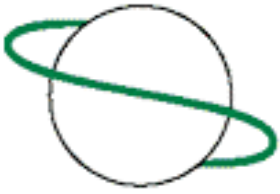
- (a) Sources, including as appropriate:
 - (i) Production data, including quantity and location;
 - (ii) Uses; and
 - (iii) Releases, such as discharges, losses and emissions;
- (b) Hazard assessment for the endpoint or endpoints of concern, including a consideration of toxicological interactions involving multiple chemicals;
- (c) Environmental fate, including data and information on the chemical and physical properties of a chemical as well as its persistence and how they are linked to its environmental transport, transfer within and between environmental compartments, degradation and transformation to other chemicals. A determination of the bio-concentration factor or bio-accumulation factor, based on measured values, shall be available, except when monitoring data are judged to meet this need;
- (d) Monitoring data;
- (e) Exposure in local areas and, in particular, as a result of long-range environmental transport, and including information regarding bio-availability;
- (f) National and international risk evaluations, assessments or profiles and labelling information and hazard classifications, as available; and
- (g) Status of the chemical under international conventions.

Annex F

INFORMATION ON SOCIO-ECONOMIC CONSIDERATIONS

An evaluation should be undertaken regarding possible control measures for chemicals under consideration for inclusion in this Convention, encompassing the full range of options, including management and elimination. For this purpose, relevant information should be provided relating to socio-economic considerations associated with possible control measures to enable a decision to be taken by the Conference of the Parties. Such information should reflect due regard for the differing capabilities and conditions among the Parties and should include consideration of the following indicative list of items:

- (a) Efficacy and efficiency of possible control measures in meeting risk reduction goals:
 - (i) Technical feasibility; and
 - (ii) Costs, including environmental and health costs;
- (b) Alternatives (products and processes):
 - (i) Technical feasibility;
 - (ii) Costs, including environmental and health costs;
 - (iii) Efficacy;
 - (iv) Risk;
 - (v) Availability; and
 - (vi) Accessibility;
- (c) Positive and/or negative impacts on society of implementing possible control measures:
 - (i) Health, including public, environmental and occupational health;
 - (ii) Agriculture, including aquaculture and forestry;
 - (iii) Biota (biodiversity);
 - (iv) Economic aspects;
 - (v) Movement towards sustainable development; and
 - (vi) Social costs;
- (d) Waste and disposal implications (in particular, obsolete stocks of pesticides and clean-up of contaminated sites):
 - (i) Technical feasibility; and
 - (ii) Cost;
- (e) Access to information and public education;
- (f) Status of control and monitoring capacity; and
- (g) Any national or regional control actions taken, including information on alternatives, and other relevant risk management information.



Annex B

Global Environment Facility

GEE/C 16/6

September 28, 2000

GEF Council
November 1-3, 2000
Agenda Item 8

DRAFT ELEMENTS OF AN OPERATIONAL PROGRAM FOR REDUCING AND ELIMINATING RELEASES OF PERSISTENT ORGANIC POLLUTANTS INTO THE ENVIRONMENT



Recommended Council Decision

The Council reviewed document GEF/C.16/6, *Draft Elements of an Operational Program for Reducing and Eliminating Releases of Persistent Organic Pollutants into the Environment*, and approves the elements as a basis for preparing an operational program, subject to the comments made during the Council meeting. The Council requests the Secretariat to develop and publish the operational program, in consultation with interested partners and stakeholders, and to circulate the draft program to Council Members for comment before finalizing it.

In developing the operational program, the Secretariat is requested to take into account the conclusions and decisions of the International Negotiating Committee (INC) for an International Legally Binding Instrument for Implementing International Action on Certain Organic Pollutants.

The Council requests the Secretariat in cooperation with UNEP, in its capacity as Secretariat of the INC, to officially circulate the elements together with information on the Council's discussions to the participants at the fifth session of the INC in December 2000 with a view to ensuring that they are fully informed of the operational role that the GEF can play in assisting countries to implement the new convention.



INTRODUCTION AND SUMMARY

1. The Council of the GEF, aware of the growing international consensus on the reduction and/or elimination of releases of Persistent Organic Pollutants (POPs) into the environment, and of the successful development of the negotiation process for a new global convention, has requested the GEF Secretariat to develop the main elements of an operational program to guide GEF's actions in addressing this new global challenge.
2. The financial resources required to assist countries in meeting their obligations under the draft Convention, and the mechanism for their provision, is still under discussion. Should the GEF be designated as the financial mechanism to the Convention, the guidelines set forth in this new Operational Program will be adapted and revised in the light of the provisions of the Convention itself, of future decisions and guidance by the COP, and in consultation with the Convention Secretariat. To assist GEF eligible countries to address the full scope of obligations that might emerge under the new legal instrument, additional resources will need to be available to the GEF Trust Fund within the framework of the Third Replenishment (discussions will begin in October 2000 for a completion in early 2002).
3. This new cross-cutting operational program would be exclusively dedicated to Persistent Organic Pollutants, and in particular to the twelve substances being considered for international action, and to those substances that might be added in the future under the provisions of the Convention. It would include two main categories of eligible actions:
 - (i) development and strengthening of capacity, to enable the recipient country to meet the objectives of the convention. This first group of activities would be eligible for full funding of agreed costs;
 - (ii) on-the-ground interventions, aimed at implementing specific phase-out measures. This category will be eligible for GEF incremental costs funding.
4. GEF-facilitated activities on other Persistent Toxic Substances (PTSs) will continue under Operational program 10, *Contaminant-based program*. Eligible actions will be focused on the transboundary impact of PTSs on the aquatic environment and biodiversity.
5. In response to countries' requests, synergies and opportunities for the implementation of comprehensive responses to the challenges posed by POPs, and PTSs in general could be enhanced through coordinated, complementary actions in both operational programs.



BACKGROUND

6. For more than 30 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. The number of synthesized chemicals is now beyond three million and is growing at a rate of several hundred thousand a year of which 300-500 reach the stage of commercial production. It is estimated that up-to one third of the total production of these chemicals reaches the environment¹. Mounting evidence of damage to human health and the environment has focused the attention of the international community on a category of these 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 and sediments) 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). These chemical substances can disrupt endocrine systems, suppress immune system functions, and induce reproductive and developmental changes. The evidence of detrimental effects on living organisms at the level of entire populations of some POPs demonstrates the threat to biodiversity, and the potential for disruption at the ecosystem level. Organisms at the top of food chains, including humans, usually accumulate the highest body burden over their life time.

THE GEF AND POPs

7. The involvement of the GEF in addressing global contaminants dates back to 1995, when the GEF Council, recognizing the global significance of the problems posed by persistent toxic substances – PTS, which include POPs, heavy metals and organo-metallic compounds - approved the eligibility of actions aimed at “limiting the releases of contaminants causing priority concerns” in the international waters focal area. Specific reference to persistent organic pollutants is made in the Contaminant Based Operational Program (#10). The program scope of OP10 focuses on specific contaminants rather than a specific water-body. Under the present provisions, projects utilize demonstrations to overcome barriers to adoption of best practices, and funds the incremental costs of projects designed to achieve global environmental benefits within the context of the international waters focal area.

8. In the period March 1998 – April 1999, in response to a finding of the *Overall Performance Evaluation* that called for an increased effort in this field, the GEF defined near-term activities aimed at enhancing GEF’s catalytic role. The objectives set forth in the program

¹ Report on the STAP Brainstorming on POPs, Barbados, Feb. 2000



were rapidly met, and a portfolio of strategically designed projects was developed under OP10 (Global Contaminants component), in the International Waters focal area². They include regional, and national assessments aimed at providing guidelines and priorities for enhanced GEF action, and 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. Another effort, the “Regionally Based Assessment of Persistent Toxic Substances (PTS)” project, will address the complexities, possible risks, and ecological/human health implications of the broader range of PTS. This project will provide within three years a better understanding of the overall dimensions of the threats posed by PTS, well beyond the 12 substances initially considered for international action.

RATIONALE FOR AN EXPANDED GEF ROLE

9. In 1997 the Governing Council of UNEP called for the establishment of an international negotiating committee (INC) with a mandate to prepare a legally binding instrument for implementing international action, beginning with 12 specific POPs. Representatives of more than 90 governments met in Montreal in June 1998 for the first session of the INC. Participation has grown with each of the subsequent INC sessions in Nairobi (January 1999), Geneva (September 1999), and Bonn (March 2000), with participating governments amounting to 103, 115 and 121 respectively. The negotiations are expected to conclude at the fifth session of the INC to be held from December 4-9, 2000 in Johannesburg. The convention will be adopted and opened for signature at a diplomatic conference scheduled for May 21-23, 2001 in Stockholm.

10. International negotiators are seeking agreement to ban production and use, without exemptions, of three pesticides: *Aldrin*, *Endrin*, and *Toxaphene*. Elimination of production and use is also being discussed, but with exemptions for specific uses in some countries, for five additional pesticides. For the industrial chemicals, PCBs, all production and new use is to be eliminated, while the continued use of PCBs currently in use is envisioned to be allowed under certain conditions for a period to be determined, with eventual environmentally sound disposal as the final outcome. Negotiators have also agreed on basic provisions for continuing minimization of unwanted by-products (dioxins and furans). For the most part, consensus has been on the criteria for adding new substances, on reduction and elimination timeframes, and on technical assistance needs. Still to be determined are the

² Persistent Toxic Substances, Food Security, and Indigenous Peoples in the Russian North - UNEP/RAIPON/AMAP, MSP, \$750k GEF, under appraisal
Reducing Pesticide Runoff to the Caribbean - UNEP in collaboration with FAO/IDB/USEPA/World Bank, PDF-B, \$295k (GEF), in preparation
Assessing National Management Needs of PTS - UNEP in collaboration with UNIDO/UNITAR/FAO/WHO/World Bank/WWF, PDF-B, \$350k (GEF), in preparation
Comprehensive Action Program to Phase Out DDT and Reduce the Long Term Effects of Exposure in Mexico and Central America - UNEP/PAHO/CEC, PDF-B, \$330k (GEF), in preparation
Regionally Based Assessment of PTS - UNEP in collaboration with FAO/GESAMP/UNITAR/WHO/World Bank/IPEN, full project, \$3.0M (GEF), under implementation



issues of the financial requirements and financial mechanism needed to facilitate the implementation of the future convention.

11. During the second meeting of the INC in January 1999, the GEF expressed its readiness "...to serve as the financial mechanism of the new legal agreement, should that be the decision of the governments negotiating this agreement." GEF also noted that "...additional resources will be required to assist countries to address the full scope of obligations that might emerge under the new legal instrument". An appropriate increase in contributions to the GEF Trust Fund (within the framework of the third replenishment) would be in fact required in order to undertake the actions needed to successfully face this new and immensely complex global environmental challenge. The GEF Council endorsed this statement and requested the Secretariat and the GEF Implementing Agencies to increase support for country-driven initiatives in the field of POPs.

12. In summarizing the status of contaminants in the context of the GEF, the Science and Technology Advisory Panel of the GEF (STAP)³ noted that "interventions are presently confined to the water context under OP10". This fact "restricts the scope and possibilities of action" that could otherwise be taken to meet the needs of several regions since paths of exposure of humans and land animals do not all include marine or freshwater components. STAP recommended that a new Operational Program be put in place to address the POPs convention under negotiation. Following this recommendation, the GEF Secretariat proposed to Council during its meeting of May 2000 the development of "a new operational program to support the specific commitments under the convention, both at national and regional levels"⁴. Council considered this proposal and requested the Secretariat to define the elements of a new operational program dedicated to the phasing out of POP's and to submit the paper to the Council for discussion at its meeting in November 2000.

³ Report of the STAP Brainstorming on POPs, Barbados, 21-22 February 2000

⁴ Addressing the global threat of Persistent Organic Pollutants, GEF/C.15/Inf.14, Apr.2000



ELEMENTS OF AN OPERATIONAL PROGRAM ON REDUCING AND ELIMINATING RELEASES OF
PERSISTENT ORGANIC POLLUTANTS INTO THE ENVIRONMENT

13. GEF response to the challenge posed by the increasing contamination of persistent organic pollutants will adhere to the basic principles set forth in the GEF Instrument and Operational Strategy, which establishes “Operational Principles” for the development and implementation of GEF eligible projects⁵. They are:

- (a) For the purpose of the financial mechanisms for the implementation of conventions⁶, the GEF will function under the guidance of, and be accountable to, the Conference of the Parties.
- (b) Incremental costs: GEF will provide new, and additional, grant and concessional funding to meet the agreed incremental costs of measures to achieve agreed global environmental benefits.
- (c) Cost-effectiveness: project activities will maximize global environmental benefits.
- (d) Country ownership⁷: projects will be country-driven, and based on national priorities designed to support sustainable development, as identified within the context of national programs.
- (e) Flexibility: GEF will respond to changing circumstances, including evolving guidance of the Conference of the Parties and experience gained by monitoring and evaluation activities.
- (f) Public participation: projects will provide for consultation with, and participation as appropriate of, the beneficiaries and affected groups of people; all non-confidential information will be made fully public.
- (g) Leveraging of additional financing: in seeking to maximize environmental benefits, the GEF will emphasize its catalytic role and leverage additional financing from other sources.

⁵ See paragraph 9 of the GEF Instrument.

⁶ GEF serves as the financial mechanism to the Convention on Biological Diversity, and the United Nations Framework Convention on Climate Change.

⁷ All GEF actions will respond to specific requests from those developing countries and countries with economies in transition which are eligible for assistance according to the GEF Instrument. Each request, presented through an Implementing Agency or directly to the GEF Secretariat, will be entered into the web based Project Tracking and Information System, now being implemented by the Secretariat. The System will allow universal accessibility at all stages during the GEF Project Cycle (concept approval/pipeline entry, approval of preparation funds, work program inclusion, endorsement).



- (h) Monitoring: GEF will ensure that programs and projects are monitored and evaluated on a regular basis.
- (i) Disclosure of information: GEF projects will provide full disclosure of all non confidential information.

14. The new Operational Program on the Phasing Out of POPs will be cross-cutting in nature. Multiple global benefits in the areas of the prevention of transboundary contamination of water-bodies, the conservation of biodiversity, and the prevention of land degradation will be accrued from actions eligible under the new operational program.

15. Activities will be developed at three different geographical levels: national, regional, and global. Emphasis will be on actions at the country level, as the main objective of the OP is to provide assistance to countries for the implementation of the provisions of the convention. Regional actions will also be eligible for financing if deemed appropriate by the countries, when similarities in environmental conditions and socio-economic context presents opportunities for the optimization of resources, the sharing of experience and the enhancement of replication potentialities. Interventions at the global level will also be eligible, in areas such as the facilitation of targeted research efforts, and assessments.

16. Eligible interventions will fall into two categories:

- (a) Development and strengthening of capacity, aimed at enabling the recipient country to fulfill its obligations under the convention. These country specific *enabling activities* will be eligible for full funding of agreed costs.
- (b) On the ground interventions, aimed at implementing specific phase-out and remediation measures at national and/or regional level, and including components of targeted capacity building. This second category of GEF interventions (Full Projects or Medium Size Projects, including Targeted Research Projects) will be eligible for GEF incremental costs funding.

ENABLING ACTIVITIES

17. Enabling activities, as defined in the GEF Operational Strategy, represent a basic building block of GEF assistance to countries. They either are a means of fulfilling essential communication requirements to a Convention, provide a basic and essential level of information to enable policy and strategic decisions to be made, or assist 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 a cost-effective approach within the context of national sustainable development efforts. Country driven enabling activities will normally qualify for full agreed costs funding when they are directly related to global environmental benefits and/or consistent with the guidance of a Convention.

18. Enabling activities may include:

- (a) Development of action plans for complying with the obligations of the POPs convention and for setting priorities for initiating future activities on POPs.
- (b) Strengthening the capacity of a POPs focal unit within each government that serves as the primary point of contact for POPs related issues among the various ministries involved; training of decision makers, managers and personnel responsible for POPs management.
- (c) The development of country inventories (production, imports, exports, stocks, releases in the environment, contaminated sites, use and disposal of each of the POPs).
- (d) Review of available infrastructure capacity and institutions at different levels and assessment of the needs and options for strengthening them.
- (e) Development of regulatory controls to achieve compliance with the POPs convention.
- (f) Assessment of enforcement capacities to ensure compliance with regulatory controls.
- (g) Assessment of the needs for the introduction of technologies, including technology transfer, that would assist countries in meeting convention obligations.
- (h) Assessment of possibilities of developing indigenous alternatives.
- (i) Assessment of the need for the enhancement of local commercial infrastructure for distributing benign alternative technologies/products.
- (j) Development of an outreach/information program to educate the public and industry about POPs related risks, and measures to address them.

CAPACITY BUILDING, TECHNOLOGY TRANSFER, AND INVESTMENTS
(Full Projects and Medium Size Projects⁸)

19. While enabling activities prepare the ground for project development and the implementation of national plans, actual project development is not an enabling activity. Project preparation funds may be requested to develop specific project ideas.⁹ Actions

⁸ An expedited project cycle applies to projects requiring less than \$1M in GEF resources, referred to as Medium Size Projects.

⁹ GEF Project Development Fund (PDF-B)- grant financing, up to \$350k, to cover the preparatory work leading to the submission of a full project



designed to implement plans and activities identified in the national plans and strategy will be prepared and assessed in the context of the Operational Program guidelines. They will be in conformity with the Operational Strategy principles, and consistent with the COP guidance.

20. Full Projects and Medium Size Projects eligible for funding will be focused on the following four major objectives:

- (a) Develop and/or strengthen the capacity of developing countries and countries with economies in transition to address the threats posed by POPs, according to the priorities and needs identified by the countries. Eligible actions may include: the strengthening of infrastructure capacity and institutions at different levels, including monitoring and risk assessments; strengthening of the enforcement capacity to ensure compliance with regulatory controls; facilitation of technology transfer for the introduction of technologies, including indigenous alternatives, that would assist countries in meeting POPs convention obligations; enhancement of local infrastructure for distributing benign alternative technologies/products; implementation of outreach/information programs.
- (b) Promote/effect transition to sustainable alternatives. To achieve this objective, assistance will be provided to promote the access to, and transfer of, clean and environmentally sound alternative technologies/products/practices, including integrated pest and vector management and BAT/BEP (as will be defined by the scientific advisory body to the convention) for emissions reduction, and to facilitate transition also through barrier removal efforts. Consideration will be given to the local socio-economic and climatic conditions, and to the use of indigenous knowledge.
- (c) Facilitate the environmentally sound disposal of stockpiles of obsolete POPs. Assistance will be provided in the identification¹⁰, containment and stabilization, and environmentally sound destruction of stockpiles, including “created stockpiles” (e.g.: PCBs being withdrawn from use). Initiatives under related agreements (e.g.: Basel Convention) will be taken into consideration.
- (d) Facilitate the identification and remediation of sites affected by POPs. Assessments, including risk assessments and feasibility studies may be required prior to the implementation of actual remediation measures. Focus will be on human health hazards, water resources, ecosystem implications. Within this context, particular consideration will be given to the needs of small island states.

proposal.

¹⁰ Including assessment of “suspected” stockpiles



TARGETED RESEARCH

21. Within the context of the Operational Program GEF will fund targeted research¹¹, including information collection, analysis, and dissemination. Targeted research will be guided by the two following main considerations:
- (a) The GEF could play a facilitating or complementary role in co-funding strategically significant efforts in applied research to help develop activities in recipient countries
 - (b) Support is needed in many recipient countries in the application of analytical tools and methodologies, including the use of modern information technologies.
22. Potential areas for targeted research on POPs related issues could include, inter alia¹²:
- (a) The development/promotion of low-cost and easy to apply rapid assessment methodologies, including biological markers for environmental and human monitoring.
 - (b) Development of methodologies for exposure assessment in susceptible populations, including risks derived from constant exposure; characterization of bio-geochemical behavior of POPs in tropical areas, and identification of exposure pathways in particular scenarios (malaria areas and hazardous waste areas).
 - (c) Development of additive models for forecasting threshold concentration for chemicals in the presence of multiple stressors.
 - (d) Development of “regional” models for POPs behavior and fate (river basins, small island states, up to large portions of continental areas with reasonably uniform climatic and land-use conditions).

GEF COORDINATION AND LEVERAGING FUNCTIONS

23. The delivery capacity of the GEF system within the context of the Operational Program on POPs will be enhanced through the full involvement of the three Implementing Agencies (UNDP, UNEP, and World Bank), according to their comparative advantages, and through the establishment of specific Strategic Partnerships¹³. In order to optimize

¹¹ The operational principles outlined at p.1 apply to targeted research projects as well.

¹² Report of the STAP Brainstorming on POPs, Barbados, Feb. 2000

¹³ Strategic Partnerships (SP) between the GEF and an Implementing Agency are characterized by expedited procedures for project preparation/approval



institutional experiences, and facilitate the concerted and sustained action, new partnerships have been formed with other relevant actors, in particular the Regional Development Banks (ADB, IDB, EBRD, and AfDB), and those specialized UN Agencies with a comparative advantage in this field, including FAO and UNIDO.

24. In response to countries requests, and similar to what is being done within the context of the CBD and UNFCCC, GEF could provide a framework of consultation and cooperation through which the available technical and financial resources could be focused on global, regional, and national strategies and projects. The GEF could develop its catalytic role and enhance the collective response to this new global challenge by coordinating closely with other actors such as bilateral donors, multilateral development cooperation agencies, major NGOs, and the private sector - primarily in the chemical industry. To address more effectively issues related the implementation of the convention's provisions GEF could promote and facilitate more integrated responses and programs of action. Such an effort would be aimed at:

- (a) increasing the capacity to deliver timely and quality projects, while increasing also the number of innovative project ideas and diversifying experience;
- (b) expanding the opportunities to co-finance and mobilize additional finance, thus leveraging additional resources for this global challenge;
- (c) achieving synergy and coordination among each agency's own programs in the field of POPs according to their comparative advantages;
- (d) identifying actions and designing partnerships to address effectively the provisions of the convention, including the transboundary and global aspects of POPs phase-out;
- (e) facilitating overall coordination, and partnerships for achieving the needed levels of effective and sustained action.

Final Consideration

25. With the establishment of the proposed new operational program dedicated exclusively to the implementation of the provisions of the convention, GEF could greatly expand its commitment to POPs with existing resources¹⁴, and foster the rapid

and by agreed economic and technical benchmarks. They have been approved by Council when the need arose to deal rapidly and systematically with a specific well defined issue (see in particular the SP for the reduction of nutrient discharges in the Black Sea).

¹⁴ Based on preliminary evaluations (UNEP/POPS/INC.2/ INF/3 inter alia), the indicative allocation for initial capacity building (enabling activities) is estimated at about \$150M.



implementation during the *interim period*, and in consultation with the Interim Secretariat, of enabling activities in client countries. These initial capacity building efforts could include financing for the preparation of National Implementation Plans and development of reporting systems, and would be eligible for full funding of agreed costs. Numerous requests for initial assistance have already been received and are being evaluated by the Implementing Agencies.





Global Environment Facility

Annex C

GEF/C.17/4
April 6, 2001

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 5th 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 16th 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 actions¹⁵.

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

¹⁵ 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.



concluded that there was sufficient scientific evidence for immediate action on 12 POPs¹⁶, including a legally binding global instrument. The 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 16th 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

¹⁶ 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.



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 NIPs¹⁷.

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.

- (a) prepare an Action Plan for the reduction of releases of unintentional by-products¹⁸;
- (b) where appropriate, prepare an Action Plan to control the use of DDT for disease vector control¹⁹;
- (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.

¹⁷ If the needs of a country for the preparation of its NIP exceed this amount, normal GEF processing rules for full projects will apply.

¹⁸ 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.

¹⁹ 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.



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 workshops²⁰. 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;
- (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;

²⁰ 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.

- (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

- (iii) identification of management options, including phasing out and risk reduction options;
- (iv) determination of the need for the introduction of technologies, including technology transfer; possibilities of developing indigenous alternatives; and
- (v) assessment of the costs and benefits of management options;
- (vi) development of a national strategy for information exchange²¹, education, communication and awareness raising, taking into account risk perception of POPs by the public; and

²¹ 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.



- (vii) 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

- (viii) 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
- (ix) 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.

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.²²

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:

²² *Elements of Strategic Collaboration and a Framework for GEF Action for Capacity Building for the Global Environment (GEF/C.17/6).*



- (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 behalf²³. 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.

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 cycle²⁴.

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.

²³ 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).

²⁴ For more information, see "GEF Project Cycle" (GEF/C.16/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:

- (a) Pesticides—aldrin, chlordane, DDT, dieldrin, endrin, heptachlor,
- (b) hexachlorobenzene (also an industrial chemical and unintended byproduct), mirex and toxaphene;
- (c) Industrial chemicals – PCBs (also unintended by-products); and
- (d) 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:

(e) 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;

(f) 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;

(g) 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;

(h) 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;

(i) 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;

(j) 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

(k) 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:

(l) Develop and endeavor to implement a plan for the implementation of their obligations under the Convention within two years of its entry into force;

(m) Report to the Conference of the Parties on measures taken to implement the Convention;

(n) Facilitate and undertake information exchange on POPs including the establishment of a national focal point for this purpose;

(o) Facilitate and promote awareness, education, and the provision of information to the public, particularly for decision-makers and effected groups; and

(p) 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:

(q) 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;

(r) 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

(s) 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.

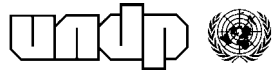
40. UNEP is to provide the secretariat for the Stockholm Convention on POPs, including its bodies.



ANNEX B

RECOMMENDED SEQUENCE OF ACTIVITIES
FRAMEWORK FOR DEVELOPING NATIONAL IMPLEMENTATION PLANS

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



Step 1		Determining Co-ordinating Mechanism and Organizing Process		
Key Activities/ Issues		Output/Results	Possible Assistance Needs	Indicative Timeframe
Comments Step 1	<ul style="list-style-type: none"> • Wherever possible, use should be made of existing committees/structures for overseeing NIP development; the creation of new coordinating structures should be avoided. • External consultants may be recruited to provide technical assistance, if needed. Priority should be given to local and regional consultants. • 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. 			

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



<p>distributing benign alternative technologies/products;</p> <ul style="list-style-type: none"> • Assessment of monitoring and R&D capacity; • 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. 			
<p>Comments Step 2</p>	<ul style="list-style-type: none"> • 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. • 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. • 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. • 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”. 		

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

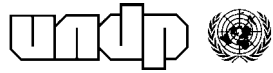


Step 4	Formulating a National Implementation Plan, and specific Action Plans on POPs		
<i>Key Activities/ Issues</i>	Output/Results	Possible Assistance Needs	Indicative Timeframe
<ul style="list-style-type: none"> • Assign mandates to task teams to develop proposals for addressing priorities; • Identification of management options, including phasing out and risk reduction options; • Need for introduction of technologies, including technology transfer; possibilities of developing indigenous alternatives; • Assessment of the costs and benefits of management options; • Defining expected results and targets; • 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; • Expert review of Implementation Plan; • Preparation of initial funding request package for implementation, including cost estimates and incremental costs; • 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. 	<ul style="list-style-type: none"> • Report on management options including priority setting; • Detailed implementation plan; • Cost estimates of implementation; • Funding request package. 	<ul style="list-style-type: none"> • Information on management options (from UNEP, UNITAR and others); • Information on alternative methods and technologies; • Methodological guidance and training on planning methodologies (e.g. ZOPP) to facilitate the development of effective implementation plans. • Training on assessment of management options, cost/benefits etc. 	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.



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



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:

- (i) determination of coordinating mechanisms and organizing process;
- (j) establishment of POPs inventory and assessment of national infrastructure and capacity;
- (k) setting priorities and determination of objectives for POPs management;
- (l) formulation of a National Implementation Plan (NIP);
- (m) planned stakeholder involvement in the formulation of the NIP;
- (n) stakeholder identification;
- (o) information dissemination and consultation;
- (p) stakeholder participation; and
- (q) 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

Component²⁵	Number of Units	Unit Cost	Total Cost
1. Coordinating mechanism and organizing process			
Technical assistance (local)			
Technical assistance (international)			
Training			
Workshops/meetings			
Travel			
Others (specify)			
Sub-total			
2. Inventory and assessment of national infrastructure capacity			
Technical assistance (local)			
Technical assistance (International)			
Training			
Equipment			
Workshops/meetings			
Travel			
Others (specify)			
Sub-total			
3. Priority setting and formulation of NIP			
Technical assistance (local)			
Technical assistance (international)			
Workshops/meetings			
Travel			
Others (specify)			
Sub-total			
4. Stakeholder involvement			
Technical assistance (local)			
Technical assistance (International)			
Training			
Workshops/meetings			
Travel			
Others (specify)			
Sub-total			
<i>Total Cost of Enabling Activities</i>			

²⁵ 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.



Annex D

United Nations Development Programme Global Environment Facility

Template for a GEF Enabling Activity Proposal on POPs

Project Summary

PROJECT IDENTIFIERS	
<p>1. Project name: (Country) - Enabling Activity : Initial assistance to (country) to meet its obligations under the Stockholm Convention on POPs</p>	<p>2. GEF Implementing Agency: UNDP</p>
<p>3. Country:</p>	<p>4. Country eligibility (a country is eligible if it has signed the Stockholm Convention): (country) signed the Stockholm Convention on 22 May 2001.</p>
<p>5. Name of GEF national operational focal point and date the endorsement letter was signed (attach a copy of the letter):</p>	
SUMMARY OF PROJECT OBJECTIVES, ACTIVITIES, AND EXPECTED OUTCOMES	
<p>6. Project objective:</p> <p>The objective of the project is to create sustainable capacity and ownership in (country) to meet their obligations under the Stockholm Convention, including initial preparation of a POPs Implementation Plan, and broader issues of chemicals safety and management as articulated in Chapter 19 of Agenda 21. The Implementation Plan describes how (country) will meet its obligations under the Convention to phase-out POPs sources and remediate POPs contaminated sites in (country).</p>	
<p>7. Project activities:</p> <ul style="list-style-type: none"> A. Establish Enabling Activity Project Co-ordinating Mechanisms; B. Capacity Building in support of project implementation; C. Assess National Infrastructural and Institutional Capacity; D. Prepare Initial POPs Inventories; E. Set Objectives and Priorities for POPs and POPs Reduction and Elimination Options; F. Prepare draft Implementation Plan for meeting (country's) obligations 	



<p>under the Stockholm Convention ;</p> <p>G. Review and Finalization of Implementation Plan.</p>
<p>8. Project expected outcomes:</p> <p>A. Enabling Activity project coordination mechanisms established;</p> <p>B. Necessary capacity built to support successful project implementation;</p> <p>C. Broad assessment of national POPs infrastructural and institutional capacity;</p> <p>D. Initial POPs inventories prepared;</p> <p>E. Agreed country objectives and priorities for POPs and POPs elimination and reduction;</p> <p>F. Draft Implementation Plan for meeting country obligations under the Convention;</p> <p>G. Final Implementation Plan integrating views from government and other stakeholders.</p>
<p>9. Estimated total budget (in US\$ or local currency):</p>
<p>10. Amount being requested from the GEF (in US\$ or local currency):</p>
<p>INFORMATION ON INSTITUTION SUBMITTING PROJECT BRIEF</p>
<p>11. Information on the organization in the country submitting the proposal:</p>
<p>12. Information on the proposed executing organization (if different from above. The grant has to be executed by an organization in the requesting country):</p>
<p>13. Date the proposal was submitted to a GEF Implementing/Executing Agency:</p>
<p>14. Date the proposal was submitted to the GEF Secretariat:</p>
<p>15. Date the proposal was approved:</p>
<p>INFORMATION TO BE COMPLETED BY IMPLEMENTING AGENCY:</p>
<p>14. Project identification number:</p>
<p>15. Implementing/Executing Agency contact person:</p>

PROJECT DESCRIPTION (MAX. 5 PAGES)

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**

The objective of the project is to create sustainable capacity and ownership in (country) to meet their obligations under the Stockholm Convention, including initial preparation of a POPs Implementation Plan, and broader issues of chemicals safety and management as articulated in Chapter 19 of Agenda 21. The Implementation Plan describes how (country) will meet its obligations under the Convention to phase-out POPs sources and remediate POPs contaminated sites in (country).

- **Description of proposed enabling activities and the expected outcomes:**

A. Establish Enabling Activity Project Co-ordinating Mechanisms

1. Identify and confirm national institution/unit to serve as Focal Point;
2. Identify, sensitize and agree on initial responsibilities amongst government agencies for Implementation Plan preparation;
3. Identify and sensitise key stakeholders (civil society, academic, public interest NGOs, and private sector) and agree on their respective roles and responsibilities;
4. Establish country Implementation Plan co-ordinating committee including major stakeholder classes;
5. Assess capacities and needs of Focal Point and national co-ordinating committee to oversee Implementation Plan preparation (technical, communication, human resources, etc.);
6. Prepare detailed project workplan;
7. Organise broad-based stakeholder inception workshop(s) to introduce and review project plan and implementation arrangements.

Outcomes:

1. Focal point institution confirmed and established;
2. Respective IP responsibilities agreed among government agencies;
3. Stakeholders sensitized and roles agreed upon;
4. Country IP plan coordinating committee established including broad stakeholder representation;
5. Capacity assessment of focal point and national coordinating committee completed;
6. Project work plan prepared;
7. Stakeholder review and discussion of project work plan and implementation arrangements completed.



B. Capacity Building in support of project implementation

1. Provide focal point/ Coordinating Committee with linkages to external sources of technical expertise (national, regional and/or international).
2. Provide information, training, equipment and administrative support to Focal Point and/or Coordinating Committee based on assessment in A.5.

Training and expertise needs could be provided by national, regional and/or international expertise through linkages in B.1 or by POPs Capacity Building Support mechanisms to be established under the GEF Enabling Activities.

Outcomes:

1. Focal points and coordinating committee have access to necessary levels of technical expertise;
2. Focal point and coordination committee have necessary capacities for project implementation.

C. Assess National Infrastructural and Institutional Capacity

1. Identify government agencies and other institutions with responsibilities for POPs management activities and assess effectiveness of existing institutional arrangements;
2. Assess effectiveness of legislative, regulatory and enforcement infrastructure and its capacity to achieve Convention compliance;
3. Assess capacity to establish Best Available Techniques (BAT) and Best Environmental Practices (BEP) for POPs source categories;
4. Assess socio-economic impacts caused by POPs exposure in humans and the environment;
5. Assess socio-economic implications of POPs reduction and elimination; including the need for enhanced local commercial infrastructure for distributing benign alternative technologies, products and practices;
6. Assess POPs monitoring and R&D capacity.

Outcomes:

1. Assessment of national institutional capacities for POPs management;
2. Assessment of national POPs legislative, regulatory and enforcement capacities;
3. Assessment of national BAT and BEP capacities;
4. Assessment of national POPs socio-economic impacts;
5. Assessment of socio-economic implications of POPs reduction/elimination;
6. Assessment of national POPs monitoring and R&D capacity at national level.

D. Prepare Initial POPs Inventories

1. Establish and train as necessary task teams responsible for preparing inventories of various POPs categories;
2. Prepare initial inventories of POPs production, unintentional sources, distribution, use, import and export;
3. Prepare initial inventory of obsolete POPs stocks, POPs-containing articles in use and contaminated sites;
4. Prepare initial inventory of POPs releases to the environment;
5. Prepare initial inventory of POPs presence, levels and trends in humans and the environment;
6. Prepare initial assessment of opportunities for disposal of obsolete stocks in accordance with provisions of Article 6 of the Convention;
7. Review existing POPs country specific exemptions and assess options for their termination;
8. Conduct independent expert review of initial national POPs inventories;

Outcomes:

1. Task teams have necessary skills to conduct POPs inventories.
2. Initial inventories of POPs production, unintentional sources, distribution, use, import and export;
3. Initial inventories of obsolete POPs stocks, POPs-containing articles in use and POPs-contaminated sites;
4. Initial inventories of POPs releases to the environment;
5. Initial inventories of POPs levels and trends in humans and the environment;
6. Initial assessment of opportunities for disposal of obsolete POPs stocks;
7. Review of existing POPs country specific exemptions and initial proposals for their termination;
8. Independent expert review of initial national POPs inventories completed.

E. Set Objectives and Priorities for POPs and POPs Reduction and Elimination Options

1. Determine national objectives for reduction and elimination of POPs releases;
2. Develop criteria for prioritising POPs and options to reduce and eliminate releases, taking into account health, environmental and socio-economic impacts, including magnitude of releases and exposed populations, the availability of alternatives, and other considerations (e.g. cost-benefit, economic instruments, etc.);
3. Organize multi-stakeholder review of prioritisation criteria and solicitation of stakeholder input on application of criteria;
4. Conduct exercise to prioritise POPs and POPs reduction/elimination options, including stakeholder review.



Outcomes:

1. Agreed national objectives for reduction and elimination of POPs releases;
2. Agreed criteria for prioritizing POPs and options to reduce and eliminate POPs releases;
3. Stakeholder input on prioritization criteria received and integrated;
4. POPs and POPs reduction/elimination prioritization exercise completed.

F. Prepare draft Implementation Plan for meeting (country's) obligations under the Stockholm Convention

1. Establish task teams to develop plans for addressing specific POPs taking into account priorities established in (E);
2. Identify barriers (legal, institutional, financial, technical, etc.) to effective phase-out or reduction of POPs sources and uses, and remediation or disposal of POPs stocks;
3. Identify actions to remove barriers to effective implementation of POPs phase-out, release reduction and remediation measures under the Convention;
4. Identify actions for information exchange, public education, communication and awareness raising;
5. Identify capacity building actions as required, including institutional strengthening, training, equipment, legal and regulatory measures, enforcement, monitoring, etc.;
6. Identify actions to enable termination of country-specific exemptions (if any); if not, prepare report to Convention justifying continuing need for exemptions;
7. Determine needs for transfer of technology and know-how and/or enhanced use and development of indigenous knowledge and alternatives;
8. Identify and estimate costs of needed investments;
9. Based on 1-7, prepare draft Implementation Plan including specific action plans for unintentional by-products, PCBs and, where appropriate, for DDT and other POPs as prioritised;
10. Establish targets, time frames for their achievement, and measurable indicators of success;
11. Prepare initial cost estimate for draft Implementation Plan, including incremental costs.

Outcomes:

1. POPs Implementation Plan task teams established;
2. Barriers to POPs phase-out, reduction, remediation and disposal identified;
3. Barrier removal actions identified;
4. Awareness raising and information exchange mechanisms identified;
5. Necessary capacity building activities identified;
6. Actions towards termination or continuation (as required) of country-specific exemptions identified;
7. Technology and know-how transfer needs identified;

8. Investment costs identified and estimated;
9. Draft Implementation Plan;
10. Implementation Plan targets, time frames and indicators identified;
11. Initial cost estimate for Implementation Plan prepared.

G. Review and Finalization of Implementation Plan

1. Organize briefing for high level government officials on draft Implementation Plan;
2. Disseminate draft Implementation Plan and supporting information to stakeholders for review;
3. Organise stakeholder workshop(s) to review draft Implementation Plan towards goal of consensus;
4. Prepare final version of initial Implementation Plan based on above review and comment process;
5. Secure government, private sector, donor and other resource commitments to financing of Implementation Plan.

Outcomes:

1. High level briefing of government on Implementation Plan completed;
2. Draft Implementation Plan broadly disseminated to stakeholder communities;
3. Stakeholder workshops completed and consensus built on Implementation Plan;
4. Final Implementation Plan prepared integrating review process;
5. Preliminary government, private sector, donor and other commitments to financing Implementation Plan secured.

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...					



Project Budget

Component ²⁶	Cost
A. Establish Enabling Activity Project Co-ordinating Mechanisms	
• Technical assistance (local)	
• Technical assistance (international)	
• Training	
• Workshops/meetings	
• Travel	
• Others (specify)	

²⁶ Items listed in the table are indicative and they should be modified as needed.

Sub-total	
B. CAPACITY BUILDING IN SUPPORT OF PROJECT IMPLEMENTATION	
• Technical assistance (local)	
• Technical assistance (International)	
• Training	
• Equipment	
• Workshops/meetings	
• Travel	
• Others (specify)	
Sub-total	
C. Assess National Infrastructural and Institutional Capacity	
• Technical assistance (local)	
• Technical assistance (international)	
• Workshops/meetings	
• Travel	
• Others (specify)	
Sub-total	
<i>D. Prepare Initial POPs Inventories</i>	
• Technical assistance (local)	
• Technical assistance (International)	
• Training	
• Workshops/meetings	
• Travel	
• Others (specify)	
Sub-total	
<i>E. Set Objectives and Priorities for POPs and POPs Reduction and Elimination Options</i>	
• Technical assistance (local)	
• Technical assistance (International)	
• Training	
• Workshops/meetings	
• Travel	
• Others (specify)	
Sub-total	
<i>F. Prepare draft Implementation Plan for meeting (country's) obligations under the Stockholm Convention</i>	
• Technical assistance (local)	
• Technical assistance (International)	
• Training	



• Workshops/meetings	
• Travel	
• Others (specify)	
Sub-total	
<i>G. Review and Finalization of Implementation Plan</i>	
• Technical assistance (local)	
• Technical assistance (International)	
• Training	
• Workshops/meetings	
• Travel	
• Others (specify)	
Sub-total	
Total Cost of Enabling Activities	

POPs WEB LINKS

CONVENTIONS

IISD Coverage of POPs INC 1-5
www.iisd.ca/chemical/

Rotterdam Convention on Prior Informed Consent (PIC) Procedure for
Certain Hazardous Chemicals and Pesticides in International Trade
www.pic.int/

Basel Convention
<http://www.unep.ch/basel/>

Convention on Long-Range Transboundary Air Pollution
<http://www.unece.org/env/lrtap/welcome.html>

UNITED NATIONS AND RELATED INSTITUTIONS

Global Environment Facility
<http://www.gefweb.org>

United Nations Development Programme - GEF
www.undp.org/gef

United Nations Environment Programme - GEF
www.unep.org/gef

World Bank - GEF
<http://wbln0018.worldbank.org/essd/geo.nsf/home>

UNEP Chemicals POPs site
<http://www.chem.unep.ch/pops/>

UNEP Inventory of Information Sources on Chemicals
<http://www.chem.unep.ch/irptc/invent/igo.html>

United Nations Industrial Development Organization - UNIDO
www.unido.org

FAO Pesticides
<http://www.fao.org/ag/agp/agpp/pesticid/>

WHO Pesticide Evaluation Scheme (WHOPES)



<http://www.who.int/ctd/whopes/index.html>

Intergovernmental Forum on Chemical Safety (IFCS)

<http://www.who.int/ifcs/>

International Programme on Chemical Safety (IPCS)

<http://www.who.int/pcs/index.htm>

OECD Pesticide Programme

<http://www.oecd.org/ehs/pesticid.htm>

NON-GOVERNMENTAL ORGANIZATIONS

International HCH and Pesticides Association

<http://hjem.get2net.dk/HCH-Pesticides/>

Basel Action Network

<http://www.ban.org/>

International POPs Elimination Network (IPEN)

<http://www.ipen.org/>

Physicians for Social Responsibility

www.psr.org/pops.htm

Health Care Without Harm

<http://www.noharm.org/>

Global Alliance for Incinerator Alternatives

<http://www.no-burn.org/>

Pesticides Action Network - North America

<http://www.panna.org/>

Pesticides Action Network - UK

<http://www.pan-uk.org/>

PAN Pesticide Database

<http://www.pesticideinfo.org/>

Greenpeace Toxics Campaign

<http://www.greenpeace.org/~toxics/>

Global Information Network on Chemicals

<http://www.nihs.go.jp:80/GINC/>



WWF Global Toxics Initiative
<http://www.worldwildlife.org/toxics/>

Physicians for Social Responsibility
www.psr.org/pops.htm

ACADEMIC

Hazardous Chemical Database, University of Akron
<http://ull.chemistry.uakron.edu/erd/>

Toxics Use Reduction Institute
<http://www.turi.org/>



Notes: