

## Independent Evaluation

# Cluster Evaluation of UNIDO projects

**Enabling Activities to review and update the  
National Implementation Plans for the Stockholm  
Convention on POPs**



UNITED NATIONS  
INDUSTRIAL DEVELOPMENT ORGANIZATION



**UNIDO OFFICE FOR INDEPENDENT EVALUATION**

## **Cluster Evaluation of UNIDO projects**

### **Enabling Activities to review and update the National Implementation Plans for the Stockholm Convention on POPs**



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Vienna, 2015



Distr. GENERAL  
ODG/EVA/14/R.11  
April 2015  
Original: English

The designations employed and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations Industrial Development Organization (UNIDO) concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.

Mention of company names and commercial products does not imply the endorsement of UNIDO.

The views and opinions of the team do not necessarily reflect the views of the involved Governments and of UNIDO.

This document has not been formally edited.



# Contents

Acronyms and abbreviations .....	iv
Glossary of evaluation terms .....	vii
Executive summary .....	ix
1. Introduction and background .....	1
1.1 Evaluation background, rationale and purpose .....	2
1.2 Evaluation questions.....	4
1.3 Evaluation methodology and approach.....	6
1.4 Evaluation limitations and timeframe .....	13
2. Programme level – assessment of NIPs review and update .....	15
2.1 Project objectives and description.....	15
2.2 UNIDO role .....	16
2.3 Project costs and execution arrangements .....	17
2.4 Project approval process .....	21
2.5 Status of implementation and duration.....	24
2.6 Main findings .....	27
3. Project level – countries context and assessment.....	34
3.1 Projects fact-sheet.....	34
3.2 Projects summaries .....	37
3.3 Main findings .....	37
3.4 Project outcomes and outputs .....	44
3.5 Assessment summary by country .....	46
4. Conclusions, recommendations and lessons learned .....	63
4.1 Conclusions .....	63
4.2 Recommendations.....	65
4.3 Lessons learned .....	67
Annex A: Terms of reference.....	69
Annex B: Evaluation matrix .....	87
Annex C: Interview Protocols .....	91
Annex D: List of people met and interviewed.....	94
Annex E: Questionnaire survey analysis .....	97
Annex F: Project Outputs by country .....	114
Annex G: Findings and recommendations on gender.....	119
Annex H: Evaluation grid.....	123

# Acronyms and abbreviations

APM	Assistant Programme Manager
BAT	Best Available Techniques
BEP	Best Environmental Practices
COMESA	Common Market for Eastern and Southern Africa
CoP	Conference of the Parties
EA	Enabling Activities
EMB	Environmental Management Branch
ESM	Environmentally Sound Management
FO	Field Officer
FP	Focal Point
ODG/EVA	UNIDO Office for Independent Evaluation
GEF	Global Environment Facility
ISA	Individual Services Agreement
LAC	Latin America and Caribbean Countries
MSP	Medium Sized Projects
NEA	National Executing Agency
NIPs	National Implementation Plans
NPC	National Project Coordinator
NPM	National Project Manager
NSC	National Steering Committee
OECD/DAC	Development Assistance Committee
PAD	Project Allotment Document
PBDEs	Polybrominated diphenyl ethers
PCBs	Polychlorinated biphenyls
PCU	Project Coordination Unit
PFOs	Perfluorooctane Sulfonate
PMs	Project Managers
POPs	Persistent Organic Pollutants
PTC	Programme Development and Technical Cooperation Division
SAICM	Strategic Approach to International Chemicals Management
SADC	Southern Africa Development Community
SAP	Systems Applications Products
SC	Stockholm Convention
SCU	Stockholm Convention Unit
ToR	Terms of Reference

UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNEP	United National Environmental Programme
UNIDO	United Nations Industrial Development Program
UNITAR	United Nations Institute for Training and Research
U-POPs	Unintentional Persistent Organic Pollutants
XRF	X Ray Fluorescence

# Acknowledgments

This Cluster Evaluation was prepared under contract to UNIDO Office of Independent Evaluation.

The Evaluation team is deeply grateful to the many individuals who made their time available for providing information, discussing and answering questions and who have contributed with their views and experience to the present assignment.

In particular, the team benefited extensively from the experience and information provided by the Chief of UNIDO Stockholm Unit, Mr. Klaus Tyrkko, the Project Managers and staff. The team is also deeply thankful to the Country Government representatives, consultants and stakeholders who responded to the survey questionnaire and were eager to share information during the interviews, providing interesting and precious comments.

Teresa Amador (Team leader)

Carlo Lupi (consultant)

## Glossary of evaluation terms

Term	Definition
Baseline	The situation, prior to an intervention, against which progress can be assessed.
Effect	Intended or unintended change due directly or indirectly to an intervention.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Impact	Positive and negative, intended and non-intended, directly and indirectly, long term effects produced by a development intervention.
Indicator	Quantitative or qualitative factors that provide a means to measure the changes caused by an intervention.
Lessons learned	Generalizations based on evaluation experiences that abstract from the specific circumstances to broader situations.
Logframe (logical framework approach)	Management tool used to facilitate the planning, implementation and evaluation of an intervention. It involves identifying strategic elements (activities, outputs, outcome, impact) and their causal relationships, indicators, and assumptions that may affect success or failure. Based on RBM (results based management) principles.
Outcome	The likely or achieved (short-term and/or medium-term) effects of an intervention's outputs.
Outputs	The products, capital goods and services which result from an intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Relevance	The extent to which the objectives of an intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donor's policies.
Risks	Factors, normally outside the scope of an intervention, which may affect the achievement of an intervention's objectives.
Sustainability	The continuation of benefits from an intervention, after the development assistance has been completed.
Target groups	The specific individuals or organizations for whose benefit an intervention is undertaken.



## Executive summary

The overall objective of the Stockholm Convention (SC) is to protect human health and the environment from persistent organic pollutants (POPs). Parties to the SC are required, by its Article 7, to prepare a plan on how they are going to implement the obligations under the Convention and make efforts to put such plan into operation. The National Implementation Plan (NIP) is not a standalone instrument for the management of POPs but is a part of a national sustainable development strategy of the Party preparing and implementing such plan.

UNIDO is acting as the GEF implementing agency for 52 countries through the mechanism of Enabling Activities (EA), which is a means of fulfilling essential communication requirements to a Convention. The overall objective of these EA projects is to review and update the NIPs and have them endorsed and submitted, by the Government Counterparts, to the Conference of the Parties (CoP) of the SC. The present evaluation covers all the countries where the EA activities have been conducted, with the exception of China.

Given the number of NIP review and update projects, and their different stages of implementation in each of the countries (see Chapter 2 below), it was not be feasible to assess all of them individually with the same level of detail. As such a cluster approach has been used (see section 1.3 below).

The present Cluster Evaluation of the NIP review and update projects has been conducted in 3 phases: firstly an inception phase which elaborated the methodology and evaluation framework, conducted initial documentary review and interviews, and elaborated the inception report; secondly, the implementation phase, which consisted of primary data analyses and review of the evidence collected from the different sources; and finally, the present reporting phase.

This evaluation was conducted from 1 September to 30 November 2014, by an independent team of evaluation consultants: Ms. Teresa Amador, (team leader) and Mr. Carlo Lupi. Field visits to Mozambique, Philippines and Swaziland were conducted in the last week of October where the Evaluation team had the opportunity to interview members of the Project Coordination Unit (PCU) and members of the National Steering Committee (NSC), National Consultants and UNIDO country representatives.

The Evaluation team also participated at the *UNIDO Global meeting on South-South Cooperation in the context of the NIP Updates and their Evaluation* which took place in e Vienna from 18 to 20 November 2014. During the event the Evaluation team presented the preliminary findings of the evaluation and conducted additional face-to-face interviews with representatives from six cluster countries that have not been visited by the team and four representatives from French speaking countries. The Evaluation team also had the opportunity to meet the representatives of the countries where the project has not yet started.

## **Main findings and conclusions**

The overall objective of these GEF funded EA projects is to support the beneficiary countries in their sustainable development programming through the review and update of the SC NIPs and have them endorsed and submitted, by the Government Counterparts, to the CoP. The projects have identified the relevant GEF5 focal areas objectives and have been designed in line with UNIDO thematic priorities and have, in general, been relevant to assist countries in identifying their environmental priorities associated with chemicals and raising the profile of POPs in the beneficiary countries.

The level of stakeholders' involvement and awareness raising generated by the NIPs has been considered one of the main achievements of the project and the involvement of the target beneficiaries is evident from the proceedings of workshops and minutes of meetings.

In the majority of the countries the project has been designed based on a model intervention following the same template developed by the SCU. This has, in some cases, resulted in lack of flexibility to adjust to the countries needs and contexts.

The overall time required for starting the project (from CEO approval to entry into effect of the execution arrangements) is very long - on average 9 months. This affects not only the NIP review and update activity, but also post-NIP projects. The projects have not yet started in 8 countries and the overall status of implementation is delayed. Due to unrealistic planning the project implementation is delayed in all the cluster countries with the exception of Mongolia and Macedonia, which have concluded implementation nearly within the timeframe.

The triangulation of the information from the different evaluation sources demonstrates that more time is required to conduct all the project's components. The timeframe is even less realistic considering the fact that it includes the submission of the NIP to the CoP of the SC meaning that after the project cycle there is a gap to be filled by the Governments, which may take quite long and is not within UNIDO control. Also when the implementing agency is not represented at national level more time is required for articulation, procurement and contracting.

UNIDO is perceived as a technically competent and reliable partner for NIP implementation, based on its strategic position (elaboration of guidelines and capacity building projects), its level of expertise and capacity to mobilize resources and present integrated solutions as well as its representation at country/regional level.

The roles and responsibilities of the different partners in the implementation of the projects at the national level are clear from the sub-contracts and ToR but these are not always followed due to different contextual reasons. The overall

level of articulation between UNIDO HQ/PMs and the PCU is good and fluid but improvements have been suggested.

The level of information management is very poor - information on project documents and outputs is scattered among UNIDO HQ (PMs and Procurement) and each PM follows a different organizational structure. This has been a major limitation of the present evaluation.

The project assessment in the 10 cluster countries demonstrated that in spite of the fact that the NIP review and update activities carried out with UNIDO assistance benefitted of a common result framework structure and of similar execution arrangements (in 7 of the 10 cluster countries), each country has implemented the activities following its own model and is, as of 30 November 2014, in a different stage of implementation.

## **Key recommendations**

### *Recommendations to UNIDO*

In order to initiate implementation immediately after the project approval, the contract negotiation should start during the preparation of the project documents.

To fully comply with the ToR an additional implementation period is required. Considering all the activities involved in the NIP review and update the implementation period should be the same of the original NIPs - 24 months. The submission of the endorsed NIP to the CoP of the SC should not be included in the timeframe for implementation as this is not within the control of the National Executing Agency and can take a considerable amount of time.

Clause 2.05 of the sub-contracts on the report submission should be amended to require the Government Counterparts to submit the outputs of the project in electronic format to the PM who should be required to technically validate the deliverables before approval of payment by Procurement.

Communication between the PMU and UNIDO HQ/PMs should be improved in line with the project's ToR: the PMU should notify UNIDO HQ on the coordination mechanisms; progress reports should be submitted by the PMU (as requested in the project documents); the PMs should keep a record of all the deliverables of the NIP review and update.

For those cases of direct implementation the requirement from the project document to prepare Progress Reports should be enforced and closer coordination between UNIDO HQ and PCU should be in place.

The overall project management process should be streamlined through common standards and a monitoring and tracking system. This should include, besides the

submission of the entire project outputs electronically, the development of a standardized management information and monitoring tool.

The Field Officers, and for countries without representation the Regional Offices, should play a more proactive role during the project approval and after the start of its implementation in accordance with UNIDO Secretariat Structure 2014.

#### Recommendations to Government / Organisation counterpart

Government counterparts should streamline the procurement and contractual arrangements in order to make sure that the execution arrangements entry into effect as soon as possible after the project approval.

Government counterparts should ensure the integration of socio-economic and gender issues in the review and update of their NIPs in accordance with the guidance documents produced by the Secretariat of the SC and by the SCU/UNIDO.

Government counterparts should ensure that the representatives nominated to attend the international meetings and capacity building initiatives are those that are involved with the NIPs review and update (NPC or NPM).

#### Recommendation to GEF

A more realistic and pragmatic approach to the establishment of the timeframe for the review and update of the NIPs should be adopted since practice has demonstrated that neither the Stockholm Convention deadline nor the timeframe established under the EAs project submitted to the GEF are realistic.

The procedures for accessing GEF funding should be made clearer at national level in order to facilitate and expedite the approval process.

Capacity building, using the pool of national and international experts that have been engaged in the project implementation, should be promoted, with the involvement of the FP of the chemicals conventions encouraging synergies and exchange of information among the main stakeholders involved in the NIP review and update.

## **Lessons learned**

*Availability of information:* During the evaluation process it was evident that, although the NIP review and update activities are pretty standardized activities following a model intervention with shared methodologies and similar procedures, nevertheless the standards did not apply to the storing and availability of information. The gathering of information and relevant documents was a continuous process that longer than initially expected. This was made even more difficult by internal procurement procedures that require the contracted NEAs to

submit their outcomes to UNIDO in hardcopy. The result is that a substantial amount of valuable information, which is the result of an extraordinary effort of UNIDO to coordinate the review and update of the NIPs in 51 countries, risks to be fragmented and therefore lost. The issue could be easily solved by assigning one person with the task of collecting and compiling all the deliverables produced under the NIP review and update projects using a standardised management information and monitoring tool. It should be noted that the situation also affected the evaluation as it was based on documentary evidences of different legal status (i.e. signed hardcopies, signed PDFs, drafts - either as file word or PDFs-incomplete deliverables, etc.).

*Time frame:* A one year timeframe was adopted for all projects, based on decisions of the Conference of the Parties to the Stockholm Convention and the consolidated practices established by the GEF. That eventually resulted in UNIDO granting multiple extension of projects deadlines and contracts timeframe. The timeframe for the project completion should instead take into account the beneficiaries technical and administrative capacities, as well as the time required for project drafting and approval, as well as the time required for project drafting and approval.

*Inventories:* One of the core outputs of the NIP review and update are the inventories of POPs. To date, the approach to the inventories seems mostly oriented towards the overall quantification of the amount of each POP category existing in each country, rather than towards traceability and management of POPs. Whilst this is partially compliant with the logic of the "POP tracking tool" baseline established under GEF for the measurement of the effectiveness of projects aimed at the destruction or disposal of POPs, this approach is less effective in terms of providing countries with the proper information for managing POPs.

*Training and awareness raising:* Training and awareness raising events are common to all the NIP review and update projects and a significant amount of resources is allocated for these project components. Training events are in general well documented and, together with inventory reports, represent a significant fraction of the outputs of the NIP review and update activities. Training benefitted from an important cultural exchange, which reportedly was not limited to the transfer of knowledge from developed to developing countries, but was also the result of increasing south-south cooperation. The following improvement could however increase the training effectiveness: (i) establishment and implementation of training effectiveness evaluation (by means of pre and post-training tests); (ii) certification of successful trainees; (iii) involvement of universities or consolidated training institutions; (iii) periodic repetition of training on POPs sustained after the completion of NIP review and update projects; (v) establishment of national and international web-training portals on POPs.



# 1. Introduction and background

---

1. The present report brings together the evidence and analysis made by the Evaluation team throughout its work. The report comprises the following sections:
  - Chapter 1- Introduction and background: this section presents the context and objectives of the present evaluation, elaborates on the methodologies used for data collection to respond to the objectives, key questions and indicators and introduces the evaluation framework.
  - Chapter 2- Programme level: this section describes the project and its objectives and assesses the project's costs, execution arrangements, approval process, duration and status of implementation in the 51 countries. It also briefly presents the UNIDO positioning in the implementation of the NIPs review and update. The main findings are presented under section 2.6.
  - Chapter 3- Project level: countries context and assessment: this section provides the context and background of the project in each of the 10 countries selected for this particular assessment (cluster countries). A Fact Sheet of the project in the cluster countries is presented together with a summary of each project the details of each are placed in Appendix to the present report. The main findings are presented under section 3.3 and a summary of the assessment by country is provided under section 3.5.
  - Chapter 4- Conclusions, Recommendations and Lessons Learned
2. The Annexes are part and parcel of the report and have been referenced throughout the text and footnotes. They include:
  - Annex A: Evaluation Terms of Reference;
  - Annex B: Evaluation Matrix
  - Annex C: Interview Protocols
  - Annex D: List of people met and interviewed
  - Annex E: Questionnaire survey analysis
  - Annex F: Project outputs by country
  - Annex G: Evaluation grid by cluster countries
3. In Appendix to the present report the project summaries are presented for each of the cluster countries which contain:
  - Brief description and introduction with reference to the first NIP, institutions involved and counterparts organisation;
  - List of Post-NIP Projects related to POPs that are currently being implemented;

- Project approval, timing and duration;
  - Project costs, co-financing and execution arrangements;
  - Status of the Services to be provided in each component;
  - Review of the deliverables by component;
  - Priorities identified under the first NIP.
4. The present Chapter presents the context and objectives of the evaluation and elaborates on the methodologies used for data collection to respond to the objectives, key questions and indicators, and introduces the evaluation framework.

## 1.1 Evaluation background, rationale and purpose

5. The Stockholm Convention (SC) on Persistent Organic Pollutants (POPs), adopted in May 2001 entered into force on 17 May 2004 and initially covered twelve chemicals under its Annex A, referred to as the "dirty dozen". At the 4th meeting of the Conference of Parties (CoP) in May 2009, the SC was amended to include nine additional chemicals called "New-POPs". The amendments entered into force for most of the SC Parties on 26 August 2010. At the 5th meeting of the CoP (April 2011) the SC was further amended to include Endosulfan in Annex A, with specific exemptions.

Article 7 of the SC established that:

*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.*

6. In compliance with Article 7 a) Parties are required to develop a National Implementation Plan (NIP) to demonstrate how the country will implement the obligations under the SC and to transmit it to the CoP within two years of the date on which the Convention entered into force for the country. Under the diverse responsible Ministries, and in some cases with UNIDO's support, the Counterpart Governments prepared and endorsed their NIPs (henceforth designated as first NIPs or original NIPs).

7. In compliance with Article 7 c) Parties are further required to review and update their NIPs in a manner specified by Decision SC1/121 of the CoP to the SC. According to paragraph 7 of the annex to that Decision, for those changes in the obligations arising from amendments to the SC or its annexes, a Party will review and update its implementation plan, and transmit the updated plan to the CoP within two years of the entry into force of the amendment for it. Most Parties will have to review, update and submit their NIPs within two years of the date of entry into force of the amendments to the SC (August 2012). To fulfil this tight deadline, the timeframe established in all the project documents submitted for GEF approval was one year for the completion of NIP review and updated documents. This timeframe applied evenly to all the countries without taking into account the various levels of capacities of each country and their level of implementation of the original NIPs (which were formulated over a period of two years) has been very challenging since the very beginning.
8. The overall objective of these GEF funded Enabling Activities (EA) to review and update the National Implementation Plans for the SC on POPs (henceforth designated as NIPs review and update) is to assist Parties' to the SC in fulfilling their obligations under Article 7 of the SC.
9. The purpose of the present evaluation is to assess the effectiveness and efficiency of the management structures and the implementation processes i.e. if the NIPs review and updates in the countries included in the cluster have been leaned to the requirements of the *Guidelines for Reviewing and Updating the NIP under the Stockholm Convention on POPs*.
10. Given the number of NIP review and update projects and the different stages of implementation of the projects (see Chapter 2 below) it was not feasible to assess all of them individually with the same level of detail. As such a cluster approach has been used (see section 1.3 below).
11. The purpose of the cluster evaluation is to review the extent to which, each of the 10 cluster countries has:
  - Developed and endeavour to implement a NIP under the SC;
  - Transmitted the NIP to the CoP within two years of the date on which this Convention entered into force for it;
  - Reviewed and update, as appropriate, its NIP on a periodic basis and in accordance with the guidance from the CoP2;
  - Implemented lessons from the process of the first NIP.

---

<sup>1</sup> Guidance for the review and updating of NIPs (Annex to decision SC1/12)  
Elaborated process of reviewing and updating NIPs (Annex to decision SC-2/7)

<sup>2</sup> Guidance for the review and updating of NIPs (Annex to decision SC1/12)  
Elaborated process of reviewing and updating NIPs (Annex to decision SC-2/7)

## 1.2 Evaluation questions

12. In conducting the present evaluation the team has complied with the UNIDO evaluation principles<sup>3</sup> and has used the OECD/DAC evaluation criteria<sup>4</sup>.
13. The key evaluation questions are:
  - To what extent have the NIPs review and update projects performed effectively and efficiently, and have achieved or will achieve the expected results in providing the inventory of new POPs and identifying priorities and action plans related to reduction/disposal of the ten new POPs; and
  - What lessons and recommendations can be extracted from the different experiences in the different contexts where the projects in the cluster were/are being implemented.
14. The questions are related to basic data and indicators based on those provided in the ToR (see Annex A), sources of information and methodological components identified in the Evaluation Matrix (see Annex B)
15. In accordance with the ToR the evaluation questions relate to the project's relevance, effectiveness, efficiency, sustainability as well as its coordination and management. The questions are differentiated among those that in the view of the evaluation team, required a questionnaire survey, and those that were better addressed by direct interviews and or by documentary review. The analysis of the evaluation questions served as a basis for the elaboration of the questionnaire and the protocols for the interviews (see section 1.3 below).
16. Cross-cutting issues have also been included to cover gender and socio-economic assessment. A separate assessment has been carried out of the integration of gender in the project and is presented under section 3.3 below.
17. The 10 cluster projects have been rated in accordance with the rating system defined under Annex 5 of the ToR. In addition, the Evaluation has been based in the following framework:
  - Compliance with the SC and related Guidance Documents for updating of NIPs and inventories of POPs;
  - Compliance with GEF chemical area strategy objectives, outcomes and outputs;
  - Fulfilment of specific outcome and outputs indicators as from EA project documents;

---

<sup>3</sup> UNIDO Evaluation Policy UNIDO/DGB(M).98, May 22 2006.

<sup>4</sup> The internationally accepted evaluation criteria were proposed by the OECD/DAC and adopted by the United Nations Evaluation Group (UNEG, <http://www.uneval.org>).

- Fulfilment of requirements of sub-contracts established under each EA;
  - Compliance with UNIDO thematic priorities.
18. To practically implement the rating, the following six-level score proposed in the TOR for project outcomes and outputs have been adopted, with a numeric values associated to each level to facilitate the elaboration of results.
19. The table below present the rating system to the key evaluation questions.

Table 1: Rating system to be applied to the Key Evaluation Questions

<b>Rating criteria</b>	<b>Associated numeric value</b>
Highly satisfactory (HS): The project had no shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.	5
Satisfactory (S): The project had minor shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.	4
Moderately satisfactory (MS): The project had moderate shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.	3
Moderately unsatisfactory (MU): The project had significant shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.	2
Unsatisfactory (U): The project had major shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.	1
Highly unsatisfactory (HU): The project had severe shortcomings in the achievement of its objectives in terms of relevance, effectiveness, or efficiency.	0

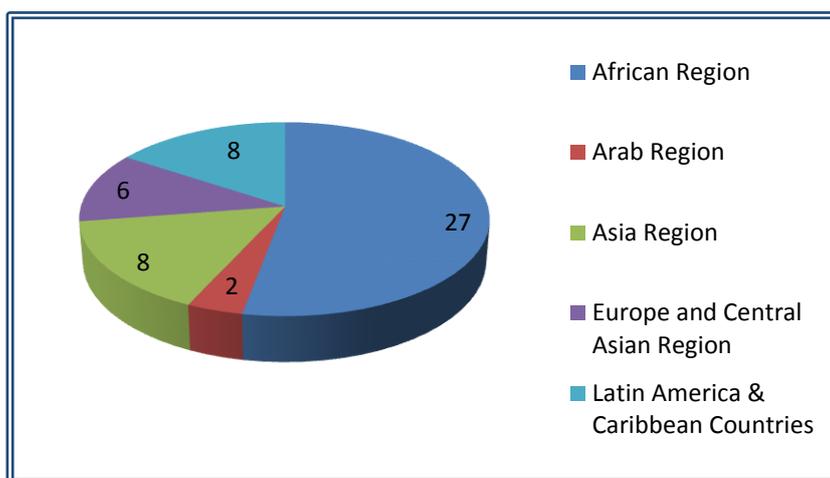
20. The above six-level have been used to score separately each evaluation criteria. Although this methodology is based on subjective assessment of all the documentary evidence made available, the use of coherent criteria and formulas for assigning scores will ensure at least the internal consistency of the rating.
21. The methodology adopted for ranking the outcome of the questionnaires has been detailed in annex E. The main issue faced in questionnaire evaluation was the large number of unanswered questions - mostly in the section concerning technical assessment of the inventories. Therefore, a specific approach for dealing with missing answers and a

separate technical assessment of the key reports drafted under the projects have been carried out.

### 1.3 Evaluation methodology and approach

22. The preparation of the NIPs review and update started in 2012 and UNIDO is acting as the GEF implementing agency for 52 countries distributed among the five UN regions as illustrated in the Figure 1 below. The evaluation covers all the countries where the EA activities have been conducted, with the exception of China<sup>5</sup>, in a total of 51 countries.

Figure 1: Geographical distribution of the 51 NIPs reviews and update projects



23. In conducting the evaluation the following methodological approaches have been followed:

- Participatory approach: information has been shared and consultations undertaken with all key parties associated with the project;
- Triangulation approach: combination of different sources/types of information and their integration, which has provided the bases for the conclusions and recommendations.

24. During the inception phase 10 countries have been selected regarding which a deeper evaluation was conducted. The selection of the cluster countries was based in the following criteria:

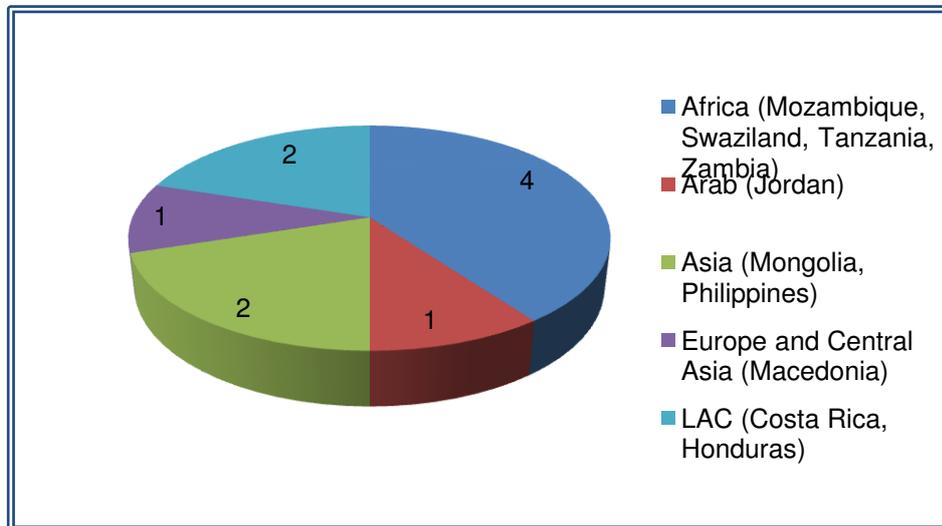
---

<sup>5</sup> UNIDO is the implementing agency for the project "Chinese compliance with the SC" which aims at review and update the NIP, have it endorsed and submitted by the government to the SC CoP and to build China's national capacity for new POPs management. Since this is a Medium-Size Project (MSP) it is not part of the present Cluster Evaluation. A separate evaluation will be conducted for China according to GEF Evaluation Policy (see footnote 4, ToR).

- Coverage: the selected countries should cover all the implementation phases;
- Regional presence: the selected countries should cover more than one region;
- Implementation status: the projects at an advanced stage of implementation will have more information available for the evaluation. Therefore, the number of phase 4 and phase 3 countries should be maximized;
- Practical considerations: language, availability of information and documents.

25. The selected cluster countries are presented in the Figure 2 below:

Figure 2: 10 Cluster Countries by Region



26. In conducting the cluster evaluation the methodology presented in the sub-sections below was used based on five components: Documentary review; Semi-structured interviews; Field visits; Questionnaires; and Qualitative assessment of the project outputs.

### 1.3.1 Documentary review

27. For all the 51 countries a review was undertaken of the NIP's review and update activities carried out since the start of the project implementation. This includes an assessment of the following: the original project document; CEO endorsement and execution arrangements (sub-contracts, direct implementation); other project related materials produced by the project. An overview was also undertaken of the existing implementation documents, including the main project outputs, by country. This information is assessed in detail in Chapter 2 below.
28. Additionally, for the 10 clustered countries the following analysis of performance has been conducted: first NIPs activities and outputs of each

of the four components of the project. This information is assessed in detail in Chapter 3.

### 1.3.2 Semi-structured interviews

29. During the inception phase interviews have been undertaken at UNIDO HQ covering all EA NIP projects activities in the 51 countries. Based on protocols developed by the Evaluation team (see Annex C) interviews were conducted with: the Unit Chiefs of UNIDO Regional Bureaus; the Unit Chief of the Stockholm Convention Unit (SCU); the Project Managers (PMs); the Procurement staff; the UNIDO GEF Coordinator; and the gender officer.
30. During the implementation phase interviews were also undertaken during the field visits (see sub-section below) and during the *UNIDO Global meeting on South-South Cooperation in the context of the NIP Updates and their Evaluation* organized by the SCU in Vienna from 18 to 20 of November<sup>6</sup>. During this meeting face-to-face interviews have been conducted with representatives from six cluster countries<sup>7</sup> that have not been visited by the Evaluation team (Africa- Tanzania and Zambia; Arab-Jordan; European and Central Asia - Macedonia; LAC- Costa Rica and Honduras) and four representatives from French-speaking countries (Niger, Republic of Congo, and Senegal). The Evaluation team also had the opportunity to meet the representatives of the countries where the project has not yet started.
31. The list of people met and interviewed is presented in Annex D with their respective contacts.

### 1.3.3 Field visits

32. Based in the criteria of geographical representation and proximity<sup>8</sup> as well as status of implementation the following 3 from the 10 cluster countries were selected: Mozambique (phase 1), Philippines (phase 4) and Swaziland (phase 3). Field visits were undertaken in the last week of October 2014 during which the Evaluation team had the opportunity to interviews the following stakeholders:
  - National Project Coordinators (NPC);
  - National Project Managers (NPM) and other personnel associated with project management;

---

<sup>6</sup> A Global UNIDO Meeting (a Learning Platform or a Platform for sharing knowledge and therewith especially strengthening the South-South Cooperation) attended by the National Project Coordinators and the Evaluation Team with the main purpose of identifying the burning issues of the country, and that the countries learn from each other's experiences, and especially to establish a kind of mechanism with improvement proposals for the NIPs that are just starting, in order to simplify the process of preparing the NIP Updates and Reviews, and to share some Best Practices out of it.

<sup>7</sup> The representative of Mongolia did not attend the UNIDO Global Meeting. The Evaluation Team interviewed the representative of Turkey.

<sup>8</sup> This was an important criterion considering the time frame of the evaluation and the resources available.

- Members of the National Steering Committee (NSC);
- National consultants;
- UNIDO country representatives in Philippines and Mozambique.

### 1.3.4 Questionnaires

33. Two types of questionnaires were developed (see Annex E) and delivered to National counterparts (NPC, NPM, national consultants and members of the NSC), field officers and international consultants. With regard to the cluster countries the questionnaires were also sent to the PMs.

- Simplified questionnaire: with a limited set of questions which was sent to the target audience in 41 countries;
- Detailed questionnaire: with all the questions which was sent to the target audience in the 10 cluster countries.

Table 2: Number of questionnaires sent by category of respondent

Target audience	Total
PMs of cluster countries	5
National Counterparts - non cluster countries	133
National Counterparts - cluster countries	60
International consultants	6
Field officers	7
Total	211

*Note: National counterparts includes NPC, NPM, national consultants, members of NSC*

34. The questionnaire was delivered to 211 respondents as per Table 2 above. A total of 68 answers were received, out of which only one questionnaire did not contain the minimum information required.

35. The questionnaires were developed based in the criteria listed below:

Table 3: Criteria followed to develop the questionnaires

Criteria	Rationale
Type of questions	Closed questions have been preferred over open questions- as such most of the questions could be answered only by selecting an answer from a dropdown list. This has reduced the time necessary to fill the questionnaire and facilitate their analysis.
Target audience	Considering the large number of countries to be surveyed, two main categories of respondents have been identified: (i) UNIDO: this included UNIDO staff (at Head Quarter and Country Offices), as well as international and national consultants recruited directly by UNIDO; (ii) Government: this includes the members of the Project Coordinating Unit (PCU) and the members of the National Steering Committees (NSC).
Modularity	Development of the questionnaires using the excel functionalities of dropdown list (for the closed questions) and data filters. This allowed for the customization of the questionnaire based on the status of the country or the category of addressee. This functionality has been used for developing from the detailed questionnaire a simplified version for the non-cluster countries.
List of addressees	A full list of government representatives, provided by the PMs, and UNIDO staff to whom the questionnaire was sent by ODG/EVA.
Piloting	The questionnaire has been preliminary circulated to staff from ODG/EVA and SCU (including PMs) and comments have been received and incorporated.
Translation	The questionnaires were translated to French and Spanish. The answers in Spanish and French were then back-translated into English.

### Questionnaire - Significance and limitations

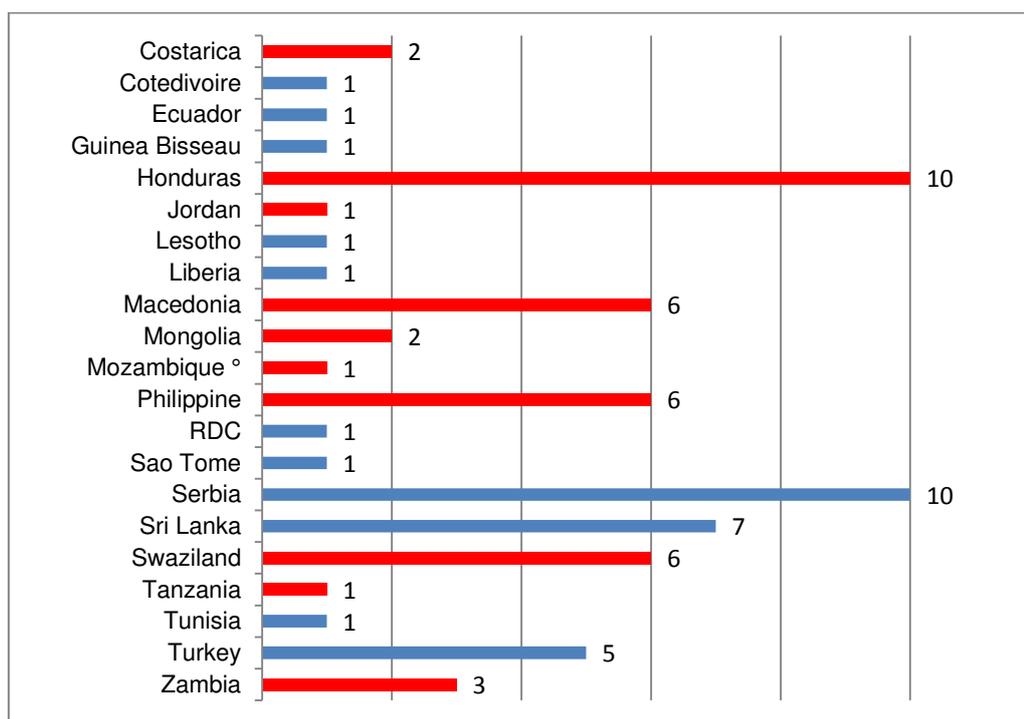
36. The questionnaire survey provided information on the type and quality of project outcomes as perceived by the respondents. It does not provide an objective measure of the performance of the project in the surveyed countries.
37. The questionnaires have been analysed to extract information on how the NIP review and update projects are perceived in each country, and to gather information and views on how the project is being implemented including comments for improvement. The questionnaire results have in addition been post-elaborate to obtain semi-quantitative scores related to each evaluation criteria. These subjective scores have then been cross-checked - triangulation of the evidence collected from the different sources (questionnaires, documentary review and semi-structured interviews) has been the approach used by the Evaluation team to validate its findings and analysis.
38. In examining the questionnaire responses it is also important to note that basically, except for 2 private stakeholders, all the respondents were

somehow involved in the implementation of the 2nd NIPs and therefore, a certain level of bias in the answer should be expected.

### Questionnaire - Results

39. In total the questionnaire was answered by: 30 government representatives; 25 national consultants; 10 UNIDO staff from HQ or country offices; 2 international consultants; and 2 private stakeholders as illustrated below.

Figure 3: Number of answers received by country (cluster countries in red)



### 1.3.5 Qualitative assessment of the project outputs

40. With the exception of Mozambique, regarding which no outputs had yet been submitted as of 30 November 2014, a qualitative assessment of the NIP review and update documents was undertaken for the other 9 cluster countries.

41. The qualitative assessment is limited to effectiveness- the other evaluation criteria were assessed through the methodologies presented in the previous sections. This qualitative assessment, specifically of the POPs inventories, is one of the core aspects of the evaluation as in the end these activities have the long-term purposes of reducing the risk for health and environment associated with POPs. Assessing the effectiveness with which this objective is pursued is crucial for any project carried out under the SC.

42. This has been a complex task as the Evaluation team faced the challenge of carrying out the technical evaluation for nine cluster countries which, despite the availability of standard methodologies for carrying out the inventories (the UN Guidance documents on NIP review and update) and similar contractual obligations in seven of the nine, have adopted different methodologies and standards for carrying out the activities related to the updating and reviewing of their NIPs.
43. As such the scope of the qualitative assessment was limited to the evaluation criteria effectiveness and did not include the verification of the correctness of the estimations and calculation provided under the inventory reports for the following main reasons:
- Verifying the correctness of the calculations implies to redo that calculations- which is obviously not possible considered the timeframe and resources available;
  - Estimates and calculation methods for conducting POPs inventory rely also on assumptions which are specific to each country, and entering in the correctness of that assumptions would have resulted in a scientific debate for each POP substance and country which is not within the mandate of the Evaluation team;
  - The inventory of different substances requires different technical skills (and indeed was performed by different experts) - so a detailed technical evaluation of all the outputs would require an evaluation team of experts covering all the different substances.
44. As such the scope of the evaluation grid presented for the 9 cluster countries (and assessed in detail under Annex H) is to verify whether the technical content of all the activities were compliant with SC requirements, namely whether:
- Training was provided for all the substances listed under the SC;
  - Action plans and priorities were provided in the NIP as required by the SC;
  - The most updated guidance documents were used for the development of POPs inventories: the UNEP/UNIDO/UNITAR guidance on new POPs inventories or the updated UNEP toolkit for inventory of Unintentional POPs (U-POPs);
  - Not only emission factors - based on recent guidance document - but also the proxy data (e.g. production of goods, consumption of fuels, waste processed, etc.) were updated for the calculation of POPs inventories;
  - Inventory data were also carried out or partially verified on the basis of chemical analysis (for instance by chloride ion detectors for PCB or XRF for fluorinated compounds);
  - The technical document required and their respective status (draft, final, endorsed) were available;
  - Pesticide stockpiles and Polychlorinated biphenyls (PCBs) equipment have been identified and secured for disposal.

45. A score was assigned resulting from the technical evaluation of all the NIP review and update documents and reports. For this purpose, the standard 6-level score (Highly Satisfactory, Satisfactory, Moderately Satisfactory, Moderately Unsatisfactory, Unsatisfactory, and Highly Unsatisfactory) was adopted, assigned a numeric value from 5 to 0 to each component evaluated.

## 1.4 Evaluation limitations and timeframe

46. The main limitations for the Evaluation have been:

- The reduced number of NIP review and update projects in phase 4 which limits the extent to which their effectiveness and sustainability can be evaluated (see section 2.5 below);
- The amount of project field visits (3) has limited the ability of the evaluation to assess fully the progress towards results / impacts of all the NIP review and update projects under implementation;
- The difficult access to information on project documents and outputs, which is scattered among Procurement and PMs. In many cases the Evaluation team has to contact the Government counterparts directly and request the information including list of members of the NSC and reports of workshops).

47. The cluster evaluation is both retrospective, with limited assessment of first NIP, and prospective with the review of performance of NIPs review and update activities. The starting date of the cluster evaluation is from the GEF approval date of each of the EA projects for the 51 countries with an end date of 30 November 2014<sup>9</sup>. For the 10 the evaluation has taken into account the first NIP activities developed prior to 2012.

48. The evaluation timeframe is provided next page. This elaborates on the timeframe provided in the ToR since the starting of the inception phase was delayed.

---

<sup>9</sup> The initial end date was September 2014 but since additional information was collected during the implementation phase at the UNIDO Global Meeting it was decided to postpone it to 30 November and consequently postpone the reporting phase.

Table 4: Evaluation time-frame

<b>Tasks</b>	<b>Schedule</b>
Initial documentary review and preparation of questionnaires	August 2014
Kick off meeting, interviews at HQ with UNIDO personal and finalisation of questionnaires	2nd week September 2014
Inception report with determination of the countries to be included in the cluster evaluation	3rd week September 2014
Pilot Study for the general questionnaire	3rd week September
Pilot study for the detailed questionnaire	4th week September
Roll-out of the two questionnaires to concerning counterparts, beneficiaries, and UNIDO personnel	1st week October 2014
Evaluation work including documentary review and virtual interviews to 7 of the 10 cluster countries	October 2014
Field visits to 3 of the 10 cluster countries	4th week October
Analysis and review	November 2014
Attendance of the Global UNIDO Meeting: presentation and discussion of preliminary findings; face to face interviews with country representatives	18-20 November 2014
Drafting and validation of evaluation report	December
Final Evaluation report	January

## 2. Programme level – assessment of NIPs review and update

---

49. The present chapter describes the EA project and assesses its costs, execution arrangements, approval process, duration and status of implementation in the 51 countries. It also briefly presents the UNIDO role in the implementation of the NIPs review and update activities. The main findings are presented under section 2.6 organised by evaluation criteria.

### 2.1 Project objectives and description

50. EA, as defined in the GEF Operational Strategy<sup>10</sup>, 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.

51. The main objective of the EA project is to assist Parties in filling the gaps required to review and update their NIPs. The EA project is expected to enable Government counterparts to:

- Update the inventories of the original or "dirty dozen" POPs;
- Establish inventories of "new POPs" in stockpiles, products and articles;
- Establish the inventories of the new "U-POPs";
- Identify industrial processes where new POPs are employed or unintentionally produced;
- Identify country priorities and action plans for the phase out of POPs.

The EA project will focus on the attainment of the following main outcomes:

- Reviewed and updated NIPs endorsed and submitted by the Government to the CoP of the SC; and
- Participating stakeholders able to manage the additional POPs with newly developed technical skills, expertise and awareness.

---

<sup>10</sup> See Initial Guidelines for Enabling Activities for the SC on POPs GEF/C.17/4 April (2001).

52. It comprise the following components and expected outputs as agree in the project document for each country (Request for EA Activity - proposal for funding under the GEF trust fund)<sup>11</sup>:

Table 5: Expected Outputs of the NIPs Review and Update Project

Project components	Excepted outputs
1. Coordination mechanism and awareness raising	1.1 Project coordination mechanisms re-established and working groups formed and contracted; 1.2 Stakeholders and public informed, consulted and aware of new POPs risks and policy implications
2. Inventories of new POPs and NIP review	2.1 Inventories of initial 12 POPs updated and validated by stakeholders; 2.2 Inventories of new POPs conducted and validated by stakeholders.
3. National capacities assessment and priority setting for management of new POPs	3.1 National regulatory and policy framework and institutional capacities to manage new POPs assessed 3.2 Prioritization of new POPs risk reduction options based on criteria, cost and benefit and inventory results completed.
4. NIP formulation, endorsement and submissions	4.1 Updated and reviewed NIP drafted; 4.2 NIP endorsed by the Government and submitted to the SC Conference of Parties
5. Periodic Monitoring and terminal evaluation of project implementation.	5.1 Periodic monitoring reports generated 5.2 Terminal evaluation report drafted and submitted

## 2.2 UNIDO role

53. UNIDO's initial substantive contribution to facilitate the implementation of the SC was to assist the Secretariat of the SC in the drafting of initial guidance for NIP formulation<sup>12</sup>. Subsequent to this, a Letter Agreement and Memorandum of Understanding was established between the Secretariat of GEF and UNIDO, in July 2001, to provide for expedited project preparation and EA grants. This resulted in UNIDO carrying out

<sup>11</sup> The ToR based on the project document approved by GEF and agreed by UNIDO and the NEA foresee the following deliverables for each project component: Component 1- Inception and Training workshop; Component 2 - Preliminary Inventories and National Inventory Validation Workshop Report; Component 3 - Priority Setting and Validation Workshop Report; Component 4- Endorsement Workshop Report and submission of endorsed NIP to the SC CoP.

<sup>12</sup> GEF/C.17/4 (2001) and Guidance for developing a NIP for the Stockholm Convention (2005) updated in 2012 to include the POPs listed in the 2009 and 2011 amendments to the SC.

EAs, including NIP formulation in over 40 countries including China and India between 2001 and 2007.

54. Of the 51 countries where the EA project is being implemented 27 have developed their first NIPs with UNIDO. The remaining ones were supported by UNEP (17 countries); UNDP (6 countries); World Bank (1 country).
55. The implementation of the NIPs review and update started in 2012 and as of November 2014 UNIDO was acting as the GEF implementing agency for 51 countries distributed among the five UN regions (see figure 1 above).
56. The NIP review and update projects are implemented by the SCU which is, since February 2014, part of the Environmental Management Branch (EMB) in the Programme Development and Technical Cooperation Division (PTC). The SCU is responsible for assisting developing countries and countries with economies in transition in implementing their relevant obligations under the SC and developing POPs related projects and activities focused mainly on the following areas<sup>13</sup>:
  - Policies for POPs Management (also NIPs and NIP Review and Updates);
  - Promote and demonstrate Best Available Techniques and Best Environmental Practice (BAT/BEP) to reduce U-POPs;
  - PCBs management and technology transfer of non-combustion technologies;
  - Production of POPs alternatives;
  - Management of recycling chains with potential for POPs recycling or formation;
  - Area-based eco-effective chemical management models and eco-industrial parks.

## 2.3 Project costs and execution arrangements

57. The GEF grant contribution for EA projects usually does not exceed 250,000 USD (including support costs). Exception concerns projects not funded under the EA mechanism<sup>14</sup> or projects aimed at strengthening the national capacity and capability to formulate the NIP for the SC taking into account the initial and newly added POPs and assist the country to endorse and submit it to CoP of the SC - this is the case for Maldives and Myanmar, which received a total amount of 430,000 USD and 500,000 USD respectively.

---

<sup>13</sup> In accordance with the presentation made by the Chief of SCU at the UNIDO Global Meeting in November 2014 in Vienna.

<sup>14</sup> Like the one in China where the Government opted for the GEF MSP of 2 million USD (see footnote 7 above)

58. The NIP review and update activities have built on the existing national coordination mechanism and capacities established during the development of the first NIP. UNIDO engaged the national entities in charge of environmental affairs of each Government Counterpart (Ministries of Environment, Environmental Authorities and Agencies) to review and update the NIP through a subcontract with detailed ToR prepared after the project approval. An authorized official from the Government Counterpart and UNIDO signed the sub-contracts.
59. In Philippines the Government counterpart decided that some of the project activities should be carried out by another national organization (e.g. University, Cleaner Production Centre, Private Company etc.) and submitted an official endorsement letter for UNIDO's approval. A subcontract was then issued between UNIDO and the endorsed organization. In Indonesia, the NIP review and update was carried out by the Basel Convention Regional Centre for South East Asia.
60. In Costa Rica and Honduras, Mongolia and Tunisia the project is under direct implementation by UNIDO due to different national contextual arrangements - in these countries the funds remained with UNIDO, which contracted the Project Coordination Unit (PCU) and national consultants directly.
61. The majority of the UNIDO staff has been involved in NIPs activities since the very beginning. UNIDO has performed project implementation oversight through an assigned Project Manager (PM) from the SCU. Some of the PMs were highly involved in the development of the official new POPs guidance, whilst others were involved in NIPs activities since 2001. The distribution of projects among PMs does not follow a geographical basis i.e the portfolio of each PM includes projects in more than one UN region and in many cases neighbouring countries are managed by different PMs which limits the ability of building a common approach at regional level.
62. In the majority of the cases with the celebration of the sub-contracts the Government counterparts have nominated high-level officials to act as National Project Coordinators (NPC) and chair the National Steering Committee (NSC), and have appointed a National Project Manager (NPM) and Assistant Project Manager (APM)/Project Technical Specialist to facilitate the coordination of the project. The NPC main role, in accordance with the ToR agreed between UNIDO and the NEA, is to ensure political support for the project and institutional coordination, supervise the project national coordination and provide support to the NSC for strategic project issues.
63. The table below summarises costs of the projects (GEF grant and co-finance by country) and the execution arrangements in each of the 51 countries (organised in alphabetical order). In the majority of the cases the projects are being implemented through sub-contract with the Ministry in charge of Environmental Affairs. Exceptions were found in 3 countries where the sub-contracts have been signed by other national institutions and in 3 other countries where the funds remained with UNIDO. The GEF

grant contribution under the EA mechanism has been between a minimum of 136,000 US\$ and a maximum of 258,000 US\$.

Table 6: Project costs and execution arrangements

<b>Country</b>	<b>GEF Grant (USD)</b>	<b>Co-finance (USD)</b>	<b>Execution arrangements</b>
Algeria	181,592	235,000	Sub-contract to Ministry of Land Planning and Environment
Armenia	136,200	410,000	Sub-contract Ministry of Nature Protection
Bolivia	205,000	260,000	Sub-contract to Executing Ministry of Environment and Water
Bosnia Herzegovina	258,020	50,000	Sub-contract to Enova d.o.o. Sarajevo and Institute of protection, ecology and informatics Banja Luka
Burkina Faso	169,340	170,000	Sub-contract to Ministry of Environment and Sustainable Development
Cape Verde	170,000	170,000	Sub-contract to Ministry of Environment, Housing and Land Planning
Central African Republic	190,000	190,000	Sub-contract to Ministry of Environment and Ecology
Costa Rica	194,260	260,000	Funds remain with UNIDO - execution by Ministry of Environment, Energy and Telecommunications
Côte d'Ivoire	200,000	170,000	Sub-contract to Ministry of Environment and Sustainable Development
Democratic Rep. Congo	199,870	35,000	Sub-contract to Ministry of Environment, Nature Conservation, and Tourism
Ecuador	205,000	235,000	Sub-contract to be issued to Ministry of Environment
Eritrea	170,000	40,000	Sub-contract to Ministry of Land, Water and Environment
Ethiopia	227,000	245,000	Sub-contract to Environmental Protection Authority
Guatemala	225,000	245,000	Sub-contract to be issued to Ministry of Environment and Natural Resources
Guinea	180,000	180,000	Sub-contract to Ministry of Environment, Water, and Forests
Guinea-Bissau	175,000	235,000	Sub-contract to Ministry of Environment and Tourism
Honduras	189,420	260,000	Funds remain with UNIDO - execution Ministry of Natural Resources, Environment and Mines

Indonesia	225,000	225,000	Subcontract to the Basel Convention Regional Centre of South East Asia
Jordan	159,700	180,000	Sub-contract to Ministry of Environment
Laos	180,000	260,000	Subcontract to Lao National Mekong Secretariat, Ministry of Natural Resources and the Environment
Lesotho	150,000	235,000	Sub-contract to Ministry of Tourism, Environment and Culture
Liberia	160,000	235,000	Sub-contract to Environmental Protection Agency
Macedonia	155,000	423,000	Sub-contract to Ministry of Environment and Physical Planning
Maldives	430,000	280,000	Sub-contract to Ministry of Environment and Energy
Mali	225,000	235,000	Sub-contract to Ministry of Environment and Sanitation
Mexico	225,000	235,000	Sub-contract to the Mexican National Cleaner Production Centre after endorsement by the Mexico's Environment and Natural Resources Secretariat (SEMARNAT)
Mongolia	164,696	423,000	Subcontract to Ministry of Environment and Green Development
Mozambique	180,000	200,000	Sub-contract to Ministry of Coordination of Environmental Affairs
Myanmar	500,000	500,000	<i>Not communicated</i>
Nepal	180,000	180,000	Subcontract to Ministry of Science, Technology and Environment
Nicaragua	185,000	235,000	Sub-contract to Ministry of Environment and Natural Resources
Niger	190,000	200,000	Sub-contract to Ministry of Environment, Urban Safety and Sustainable Development
Nigeria	225,000	235,000	Sub-contract to Federal Ministry of Environment
Peru	225,000	235,000	Sub-contract to Ministry of Environment
Philippines	225,000	225,000	Subcontract to Environment Management Bureau (comp. 1+4) and to De La Salle University (comp. 2+3)
Republic of Congo	170,000	180,000	Sub-contract to Ministry of Tourism and Environment
Rwanda	180,000	190,000	Sub-contract to Rwanda Environment Management Authority
Sao Tome and Principe	170,000	150,000	Sub-contract to General Directorate of Environment
Senegal	170,000	180,000	Sub-contract to Ministry of Environment and Sustainable Development

Serbia	179,476	265,000	Sub-contract to Ministry of Foreign Trade and Economic Relations of Bosnia and Herzegovina
Seychelles	140,000	120,000	Sub-contract to Ministry of Environment and Energy
Sri Lanka	225,000	235,000	Subcontract to Ministry of Environment
Sudan	198,000	235,000	Sub Contract to Higher Council for Environment and Natural Resources
Swaziland	198,000	235,000	Sub-contract to Swaziland Environment Agency
Tajikistan	181,850	178,000	Subcontract to Committee on Environmental Protection
Tanzania	210,000	210,000	Sub-contract to Division of Environment Vice President Office
Togo	179,290	235,000	Sub-contract to Ministry of Environment and Forestry Resources
Tunisia	220,000	230,000	Funds remain with UNIDO - execution Ministry of Environment
Turkey	225,000	386,000	Subcontract to Ministry of Environment and Urbanization
Uganda	185,000	42,000	Sub-contract to National Environmental Protection Agency
Zambia	170,000	235,000	Sub-contract to Zambia Environmental Management Agency

## 2.4 Project approval process

64. The project approval process comprises the following phases: GEF submission and approval; UNIDO implementation start (date of issuance of the project allotment document- PAD); date of entry into effect of the sub-contracts or starting of the other execution arrangements.

65. Table 7 below provides these dates by country (organised in alphabetic order):

Table 7: Project approval process

Country	GEF submission date	GEF Approval	UNIDO Implementation Start	Execution arrangements entry into effect
Algeria	26/06/2012	30/07/2012	31/08/2012	08/12/2013
Armenia	12/04/2012	09/08/2012	28/09/2012	01/03/2013
Bolivia	10/12/2012	03/04/2013	30/05/2013	31/07/2014
Bosnia Herzegovina	09/05/2011	14/03/2012	16/08/2012	21/12/2012

Burkina Faso	08/08/2012	19/12/2012	18/02/2013	23/05/2013
Cape Verde	29/01/2014	06/02/2014	01/05/2014	31/07/2014
Central African Republic	25/09/2012	14/03/2013	09/05/2013	09/09/2013
Costa Rica	05/09/2012	15/01/2013	08/03/2013	08/09/2013
Cote d'Ivoire	19/07/2013	29/07/2013	02/09/2013	13/01/2014
Democratic Republic Congo	05/09/2012	09/01/2013	05/03/2013	01/07/2013
Ecuador	15/10/2012	13/12/2012	18/02/2013	<i>In process</i>
Eritrea	08/10/2013	20/11/2013	14/04/2014	<i>In process</i>
Ethiopia	30/08/2012	10/12/2012	08/03/2013	11/07/2013
Guatemala	18/12/2013	23/01/2014	21/02/2014	<i>In process</i>
Guinea	19/09/2012	16/01/2013	21/03/2013	10/06/2013
Guinea-Bissau	19/07/2013	09/09/2013	20/11/2013	19/12/2013
Honduras	25/09/2012	14/12/2012	18/02/2013	03/06/2013
Indonesia	26/06/2012	31/07/2012	18/10/2012	14/03/2013
Jordan	21/08/2012	09/01/2013	04/03/2013	30/05/2013
Laos	23/08/2012	14/03/2013	22/04/2013	19/06/2013
Lesotho	15/10/2012	19/03/2013	15/05/2013	11/11/2013
Liberia	30/08/2012	12/02/2013	16/05/2013	18/07/2013
Macedonia	13/12/2011	28/02/2012	23/05/2012	16/07/2012
Maldives	20/12/2012	14/01/2013	05/03/2013	15/07/2013
Mali	27/11/2013	19/12/2013	01/03/2014	01/07/2014
Mexico	07/09/2012	18/03/2013	22/04/2013	<i>In process</i>
Mongolia	14/06/2012	31/07/2012	30/10/2012	<i>31/10/2013</i>
Mozambique	25/09/2012	29/05/2013	21/08/2013	24/01/2014
Myanmar		12/02/2013	11/04/2013	No info available
Nepal	19/12/2012	14/01/2013	14/03/2013	10/09/2013
Nicaragua	19/07/2013	16/09/2013	13/11/2013	20/10/2014
Niger	18/07/2013	01/11/2013	28/01/2014	14/04/2014

Nigeria	26/09/2012	19/12/2012	08/03/2013	15/01/2014
Peru	07/05/2013	01/07/2013	12/09/2013	<i>In process</i>
Philippines	27/03/2012	18/05/2012	27/07/2012	05/10/2012
Republic of Congo	14/06/2013	18/07/2013	02/09/2013	23/01/2014
Rwanda	04/02/2013	07/03/2013	10/05/2013	28/06/2013
Sao Tome and Principe	26/09/2012	20/12/2012	18/02/2013	21/06/2014
Senegal	27/06/2013	10/07/2013	06/09/2013	15/11/2013
Serbia	16/05/2012	30/07/2012	31/08/2012	21/12/2012
Seychelles	07/09/2012	14/03/2013	22/04/2013	06/06/2013
Sri Lanka	25/03/2013	02/04/2013	04/06/2013	15/01/2014
Sudan	22/06/2012	24/08/2012	09/10/2012	23/12/2012
Swaziland	14/06/2012	06/12/2012	08/03/2013	29/04/2013
Tajikistan	19/12/2012	14/01/2013	14/03/2013	05/06/2013
Tanzania	21/08/2012	29/08/2012	17/12/2012	26/06/2013
Togo	04/07/2012	09/08/2012	01/10/2012	10/12/2012
Tunisia	20/02/2013	07/03/2013	10/05/2013	02/09/2013
Turkey	27/03/2012	09/05/2012	19/07/2012	18/10/2012
Uganda	24/10/2013	23/12/2013	23/01/2014	16/05/2014
Zambia	20/09/2012	07/03/2013	16/05/2013	07/06/2013

66. The average time between GEF submission and GEF approval is approximately 3 months. The average time between GEF approval and the start of UNIDO implementation (date of PAD issuance) is more than 2 months. The average time between the PAD issuance by UNIDO and the starting of the execution arrangements is approximately 4,5 months.

67. Overall the average time between the GEF submissions and the entry into effect of the execution arrangements is 283 days, which is over 9 months. This is a very long period for project approval considering that its total implementation period is 12 months. It should be noted that in some countries (like Algeria and São Tomé e Príncipe) the administrative procedures took more than 18 months to be concluded. On the other hand Rwanda, Senegal and Guinea-Bissau had their projects approved within 5 months.

68. Some countries have pointed out their inability to access to GEF funding at national level as the main reason for the delay in the process of

approval. Others have pointed out that the UNIDO procurement procedures takes very long and that the ToR developed by UNIDO should be tailored made to each country in order to facilitate the internal approval procedures. This issue is assessed in more detail under sections 2.6 and 3.3 below.

## 2.5 Status of implementation and duration

69. The implementation of the project starts after the signature of the sub-contract by the Government counterpart representative or, for those cases of direct implementation, after the issuance of the Individual Services Agreements (ISA).

70. The projects have not yet started in the following eight countries: Bolivia, Cape Verde, Ecuador, Eritrea, Guatemala, Mexico, Nicaragua and Peru. The reasons include<sup>15</sup>:

- Governmental change and change in the Ministry of Environment (Peru);
- Specific implementation arrangements that need to be agree (Bolivia, Ecuador, Guatemala and Mexico);
- Delay in the contractual arrangements (Cape Verde);
- The fact that the process of the first NIP has not yet been closed (Eritrea).

71. The table below provides the status of implementation of the project in the 43 countries where it has started (organised by status and alphabetic order) as of 30 November 2014 (date of completion of the evaluation).

Table 8: Implementation Status of the NIPs update and review activities in each country

Country	Status	Months of implementation <sup>16</sup>
CAR	Phase 1	14,9
Guinea-Bissau	Phase 1	11,5
Jordan	Phase 1	18,3
Lesotho	Phase 1	12,8
Mali	Phase 1	5,1

<sup>15</sup> According to information collected during the implementation phase and confirmed at the UNIDO Global Meeting where the Evaluation team had the opportunity to discuss the matter with the representatives of the 8 countries where the project has not yet started and distribute a brief summary to assess the reasons for the delay.

<sup>16</sup> N° of days elapsed since the entry into effect of the execution arrangements.

Mozambique	Phase 1	10,3
Nepal	Phase 1	14,9
Sao Tome and Principe	Phase 1	5,4
Sri Lanka	Phase 1	10,6
Algeria	Phase 2	11,9
Burkina Faso	Phase 2	18,5
Cote d'Ivoire	Phase 2	10,7
DRC	Phase 2	17,2
Ethiopia	Phase 2	16,9
Guinea	Phase 2	17,9
Laos	Phase 2	17,6
Liberia	Phase 2	16,7
Maldives	Phase 2	16,8
Myanmar	Phase 2	No information provided
Niger	Phase 2	7,7
Nigeria	Phase 2	10,6
Rwanda	Phase 2	17,3
Senegal	Phase 2	12,7
Serbia	Phase 2	23,6
Seychelles	Phase 2	18,1
Tanzania	Phase 2	17,4
Togo	Phase 2	24,0
Tunisia	Phase 2	15,1
Uganda	Phase 2	6,6
Zambia	Phase 2	18,0
Armenia	Phase 3	22 (from inception)
Costa Rica	Phase 3	14,9
Honduras	Phase 3	18,2
Republic of Congo	Phase 3	10,4

Swaziland	Phase 3	19,3
Tajikistan	Phase 3	18,1
Bosnia Herzegovina	Started Phase 4	23,6
Indonesia	Phase 4	18,4 to finalise NIP review and update
Mongolia	Phase 4	29,4 (from inception)
Macedonia	Phase 4	18,6 to finalise NIP review and update
Philippines	Phase 4	21,6 to finalise NIP review and update
Sudan	Started Phase 4	20,9
Turkey	Phase 4	15,7 to finalise NIP review and update

72. In summary all the countries have exceeded the 12 months implementation period. From the 43 countries where the project has started:

- 8 countries are in phase 1 of implementation: some are still in the process of launching the project and others are yet to submit the Report of the Inception Workshop- a total of 3 countries have already exceed the 12 months implementation period without completing phase 1.
- 23 countries/the majority) are in phase 2 of implementation: the inventories have been drafted but are, in some cases, not yet validated- a total of 16 countries have already exceeded the 12 months implementation period without completing phase 2.
- 7 countries are in phase 4 of implementation of which 2 have started and 5 have completed their NIP review and update and are only waiting for their official submission to the CoP of the SC. It should be noted that in accordance with the ToR the "submission of the NIP, according to country procedures" is still part of the project<sup>17</sup>.

73. The 4 countries that have concluded their NIPs had on average a delay of 6 months. Of the 25 countries to which the initial implementation deadline (i.e 12 months from the entry into effect of the execution arrangements<sup>18</sup>) has expired 3 countries are still in phase 1, 16 are in phase 2, 4 are in phase 3 and 2 have started phase 4. The remaining 11 countries are all

<sup>17</sup> ToR: "4.3 According to country's procedures the NPC will submit the NIP, through the MSC, to the Government for endorsement; 4.4 The Government will submit the endorsed NIP document to the SC CoP"

<sup>18</sup> Does not apply to Myanmar, Armenia and Mongolia regarding which no contract was provided.

delayed regarding the deadlines of their respective phases. The reasons for this are assessed in sub-section 2.6.3 below.

74. Since the majority of the countries have not yet completed their projects, extensions have been agreed between UNIDO and 43 Government counterparts. The extension periods are: up to 31 March in 2 countries; up to 30 April in 5 countries; up to up 30 June in 17 countries; up to 31 August in 1 country; up to 30 October in 4 countries; and up to 31 December in 14 countries.
75. A more detailed overview of the project outputs by component and respective deadlines in each country is provided in Annex F together with the extension dates.

## **2.6 Main findings**

76. This section provides the main findings resulted from the triangulation of the information derived from the questionnaire, from the interviews carried out at UNIDO HQ and from the documentary review as presented under section 1.3 above. A more detailed analysis of the questionnaire survey is provided under Annex E.

### **2.6.1 Relevance**

77. The EA projects are relevant and aligned with the SC, the GEF focal area objectives, and UNIDO thematic priorities as indeed these projects have been designed to comply with the SC obligations.
78. One of the most important aspects of the NIP review and update projects is whether this activity is relevant to the country needs, especially with regard to their environmental needs, priorities and strategies. Relevance for the county includes the contribution of the project to remove regulatory constraints and gaps, address environmental concerns and identify strategies for solving environmental issues related to POPs and the degree of involvement of key stakeholders.
79. Both the original NIP and its review and update are aligned with the country needs and strategies although it has been stressed that environment is not a priority issue for many of the countries. Some interviewees and respondents to the questionnaires have pointed out that the original NIPs are still not fully implemented and as such expect the their review and update to contribute to the consolidation of the process. Examples of such contribution include the adoption of a framework law on chemicals management, institutional capacity building and enforcement.
80. In some cases, the first NIPs were perceived overambitious and there was a need to make them more implementable. The countries in the final stage of the NIP review and update reported therefore that greater emphasis was put in ensuring that they are implementable.

81. The interviewees have considered the NIP review and update activity very relevant but they are considered less relevant to the least industrialized countries because most of the new POPs are industrial POPs. How to practically implement the requirements related to specific new POPs - like Polybrominated diphenyl ethers (PBDEs) and Perfluorooctane Sulfonate (PFOs) is considered very challenging.
82. The guidance for the NIPs review and update is perceived as very relevant and useful for the countries. The availability of guidance on new POPs emerged from both the questionnaire surveys and the interviews as an important resource for the countries.
83. The NIP review and update activities are in general considered to be more aligned with the UNIDO agenda concerning greening industry and waste management, e-waste, recycling but some argued for better integration with the new DG strategy- Vision on inclusive and sustainable industrial development<sup>19</sup>.
84. From both the interviews and the questionnaire survey, no need for substantial reformulation or modification of EAs project emerged. Indeed, all the projects followed a standard model intervention and shared the same GEF template for EA, and the issue of project reformulation, although explicitly asked, was not considered as a priority by any of the respondents. Few countries adopted a limited "tailoring" of projects, for instance for the procurement of x-ray fluorescence (XRF) analysers.
85. In general, the activities developed under the original NIP and its review and update have raised the management of chemicals at the national level through inter alia the improvement on environmental planning, and legislation. This has included the enactment and drafting of new legislation, comprising lists of bans and restrictions, and has been rated by respondents to the questionnaire as S and HS.
86. Also the level of stakeholders involvement and awareness raising generated by the NIPs has been considered to be one of the main achievements of the project - in the majority of the countries stakeholders have included Government representatives, academia, Industry and NGOs.

## **2.6.2 Effectiveness**

87. In general national consensus has been built in the NIPs process- the NSC is, in most of the countries, composed of the same institutions that were part of the initial NIP except with regard to the new stakeholders that are dealing with new POPs. It was noted, however, that representatives of the institutions tend to change frequently which affects the level of expertise and institutional memory of the NSC.

---

<sup>19</sup> <http://www.unido.org/en/who-we-are/structure/directorgeneral/vision.html>

88. The involvement of the target beneficiaries is evident from the proceedings of workshops and minutes of meetings. In some cases NGOs, women organisations and media were invited and UNIDO has supported, on countries request, media awareness campaigns.
89. The follow-up projects are derived from the first NIPs as during their design evidence must be provided that they are part of the national priorities identified in the NIP. Based on the analysis of post-NIP projects available on the GEF database for the cluster countries, it has been easily verified that all the post NIP projects were developed and proposed in response to the priorities identified in the NIPs. Based on the interviews, it even emerged that the process of post-NIP project development started during the NIP formulation. This is also evident in the course of the NIP review and update as many countries listed as a possible priority the issue of E-waste (which are related to PBDEs) and projects related to PBDEs in E-waste are currently being prepared also in countries where the process of NIP review and update has not yet been completed.
90. The assessment of the project effectiveness from the questionnaire survey has been complex due to the different status of implementation of the projects in the different countries and the fact that the survey took place when the majority of the countries were still at the initial phase of the project implementation.
91. The questionnaires covered a number of questions related to the effectiveness or the achievement of the project outcome. As one of the main purposes of the project is to update the inventories and identify priorities and strategies, the most important questions are related to that part and are dealt with under sub-section 3.3.2 since they were limited to the questionnaires to the cluster countries. However, other questions were also related to the effectiveness of the NIP reviews and updates, including the institutional changes generated by these. In most of the cases respondents have considered these changes to have more an institutional nature, such as the capacity building of existing departments, the assignment of responsibilities to one or more ministries, the establishment of national coordination mechanism. In a limited number of cases, however, the changes are more tangible, like the creation of new structures dedicated to POPs management (like for instance the POPs unit in Macedonia). In the questionnaire survey, the establishment of decentralized structures and the availability of dedicated budgets were reported by the respondents.

### **2.6.3 Efficiency**

92. One of the main indicators of efficiency is the compliance with contractual delivery timeframes. This aspect was also evaluated based on the documentary review of the project outputs against their expected delivery time for all the countries covered (see section 2.5 above).
93. Two questions in the questionnaire were aimed at understanding this aspect: whether the allocated contractual time was enough for conducting

and updating the inventory of POPs and whether the allocated contractual time was enough for completing and endorsing the updated NIP. In both cases the majority of the answers indicated that the allocated time was not enough, and that an additional time from 3 months to 12 months was considered necessary to fully comply with the ToR.

94. As demonstrated above all countries will complete the project implementation with the approved budget but none will complete the project one year after its starting date- this has been recognised by UNIDO and Government counterparts and extensions negotiated in 43 of the 51 countries. The main causes for the delay in implementation are:

- Contracting/procurement - takes too long to issue the contracts from the UNIDO side but also to get it signed from the Government counterpart (getting the signature, providing the financial information, establishing a bank account);
- Transition to SAP (Systems Applications Products) and overload of some UNIDO staff;
- Delay in transfer of funds from GEF Trustee – time before funds are available at UNIDO;
- Delay from the CEO approval - there is a considerable time lag from the moment of GEF approval to the moment of first disbursement;
- Technical problems in carrying out the inventories, mostly because of difficulty to gather relevant data from private stakeholders or to perform site visit, sampling, analysis;
- Coordination difficulties among different agencies in charge of the project activities;
- Logistic issues in some countries;
- Institutional instability at the national level;
- Language and sovereignty (countries not accepting the ToR and contract in English or rejecting international consultants).

95. With regard to the learning between the formulation of the original NIPs and their review and update countries have reported the following:

- Better understating of the Actions Plans and how to set them up and monitor their progress;
- Improvement in the level of know-how since many of the experts (national and international) are the same;
- Easier access to information, data and sources since they have learned from the original NIPs where to get the data.

96. Concerning the UNIDO added value in the efforts to reduce the production, use and release of POPs the following competitive advantages have been presented:

- Strategic position - involvement in the elaboration of the guidelines; participation in capacity building projects - Southern Africa Development Community (SADC) and Common Market for Eastern and Southern Africa (COMESA);

- Capacity to mobilize resources (human and financial);
- Capacity to implement projects - technical experience; expertise; act as partners and show flexibility to countries' needs and contexts;
- Capacity to present integrated, realistic and viable solutions (balance between scientific and feasible solution);
- National/Regional representation has the potential to facilitate the process and be proactive.

97. The score assigned by respondents on this regard was always very high, on average from 3.9 to 4.6. The highest perceived added value was the technical knowledge of the international consultant, whilst the lowest was the capacity to promote international exchange.

98. The respondents to the questionnaire have identified the following reasons for selecting UNIDO instead of the implementing agency in charge of the original NIP20: experience gathered by UNIDO in many other countries and the specific technical preparation.

99. Another relevant indicator to assess the efficiency of the project is the perception of advantages and disadvantages of the execution arrangements adopted in the different countries. The main advantages are counterpart and agency participation and the availability of clear methodologies. The main perceived shortcomings are the tight timeframe for implementation, the limited quality control from UNIDO HQ, the limited training and awareness raising and limited international exchange, as well as the long time required for procurement and contracting as illustrated in the Figure 4 below.

---

<sup>20</sup> 27 countries have developed their first NIPs with UNIDO. The remaining ones were supported by UNEP (17 countries); UNDP (6 countries); World Bank (1 country).

Figure 4: Perceived advantages and disadvantages of the execution arrangements adopted in the different countries

Advantages		Disadvantages	
Counterpart participation	11	Tight timeframe	10
Agency participation	8	Reduced quality control	8
Integration of priority sectors / clarity of methodology	6	Limited training / awareness raising	6
Training / Learning	3	Limited international exchange	6
Clear responsibilities	3	Time for procurement and contracting	6
Planning	3	limited resources	2

100. In the majority of the cases the execution arrangements are through sub-contracting (most often the Ministry of Environment or a related department, in other cases research institutions, consultancies, in one case the Basel Convention Regional Centre of South East Asia). Since this was a generic question each respondent provided answers related to the specific advantages or disadvantages of the execution arrangements in his/her country.

## 2.6.4 Sustainability

101. Most of UNIDO GEF projects originated from the first NIP. The sustainability section of the questionnaire was developed mainly to assess whether the NIP review and update was integrated with other national or international commitments, and whether NIP action plans were supported by a dedicate allocation of funds and the enforcement of specific national legislation. In this context, integration with Strategic Approach to International Chemicals Management (SAICM) and synergies with the Basel and Rotterdam Conventions were considered as relevant indicators of future sustainability of the NIPs review and update since they have originated a common approach to chemicals management.

102. The enforcement of specific legislation emerged for the original NIP mainly from the semi-structured interviews (e.g the legislation related to PCBs in countries like Philippines, Macedonia, Turkey; the extension of the banning or restriction of pesticides) and the questionnaire surveys. However it is too early to assess the impact of the NIP review and update on the environmental legislation because the few completed NIPs have not yet been translated into regulatory activity. Exceptions were found in the countries that are in the process of accession to the EU, as they have to make their regulation compliant with the EU regulation on POPs. The process in these countries is however independent from the NIP review and update activity.

103. With regard to synergies most of the respondents answered positively - it is interesting to note that in most countries the entities in charge of these Conventions are either the same (one institution coordinating all the activities of the 3 conventions) or are strictly interacting. Therefore, the NIP reviews and updates, independently from the level of detail, have been in most of the cases implemented by the same group of governmental officers in charge of chemical and waste management, ensuring therefore consistency and sustainability of actions.
104. With regard to the integration with SAICM the majority of the respondents (12 over 39) answered that SAICM was useful to strengthen the governance of chemicals, whilst 6 declared that SAICM provided an integrated view on chemicals and 4 that SAICM somehow facilitates the development of projects. 20 did not answer to the question.
105. With regard to the level of support from financial and regulatory mechanisms for the priorities and strategies identified under the NIP, 41 respondents of 68 did not provide any answer. 22 answered affirmatively, and 5 answered "no". The sustainability of the action plans originated from the NIP review and update is at this level perceived as low.

### **3. Project level – countries context and assessment**

---

106. The present chapter provides the context and background of the projects in each of the 10 countries. A Fact Sheet of the projects in the cluster countries is presented below together with a summary of each project the details of each are placed in Appendix to the present report. The main findings are presented under section 3.3, the summary of project outcomes and outputs is presented under section 3.4 and an assessment summary by country is provided under section 3.5.

#### **3.1 Projects fact-sheet**

107. Table 9 below presents a common fact sheet of the project in the cluster countries listed in alphabetic order which identifies the GEF and UNIDO ID, the NEA, the project implementation starting date, the project duration, GEF grant, co-financing by Government counterpart and total cost of the project.

Table 9: Factsheet of the project in the cluster countries

Project Title: Enabling activities to review and update National Implementation Plans (NIPs) for the Stockholm Convention on Persistent Organic Pollutants										
GEF Focal Area: POPs						Implementation Agency: UNIDO				
CLUSTER COUNTRIES	Costa Rica	Honduras	Jordan	Macedonia	Mongolia	Mozambique	Philippines	Swaziland	Tanzania	Zambia
GEF ID	5116	5162	5092	4783	5025	5161	4917	5024	5093	5158
UNIDO ID (SAP Number)	120033	120008	120373		100311	100126	100297	120025	100127	120083
National Executing Agency	Ministry of Environment Energy and Tele-communications (MINAE)	Ministry of Natural Resources, Environment and Mines (SERNA)	Ministry of Environment	Ministry of Environment and Physical Planning (MEPP)	Ministry of Environment and Green Development	Ministry for Coordination of Environmental Affairs (MICOA)	Environmental Management Bureau (EMB)	Swaziland Environment Authority (SEA)	Vice President Office, Division of Environment	Zambia Environmental Management Agency (ZEMA)
Project Implementation -Start Date <sup>21</sup>	08/09/2013	03/06/2013	30/05/2013	16/07/2012	31/10/2012	24/01/2014	05/10/2012	29/04/2013	26/06/2013	07/06/2013
Project Duration- Initial completion date	12 months 08/09/2014	12 months 03/06/2014	12 months 30/05/2014	12 months 16/07/2013	12 months 31/10/2013	12 months 24/01/2015	12 months 05/10/2013	10 months 24/02/2014	12 months: 26/06/2014	07/06/2014
Project Ext-Actual completion date	Extension: 30/04/2015	Extension: 30/04/2015	Extension: 30/06/2015	Project completed 24/04/2014	Extension 31/03/2015	Extension: 31/10/2015	Extension: Not requested	Extension: 30/06/2015	Extension: 31/08/2015	Extension: 30/06/2015

<sup>21</sup> That of entry into force of the contract between UNIDO and the NEA.

GEF Grant (USD)	\$ 194,260	\$ 189,420	\$ 159,700	\$ 155,500	\$ 164,696	\$ 180,000	\$ 225,000	\$ 198,000	\$ 210,000	\$ 170,000
UNIDO Agency Fee (USD)	\$ 18,455	\$ 18,942	\$ 15,172	\$ 15,500	\$ 16,469	\$ 17,100	\$ 22,500	\$ 19,800	\$ 21,000	\$ 16,150
Co-financing (USD) at CEO Endorsement	\$ 260, 000	\$260,000	\$ 180,000	\$ 423,000	\$ 423,000	\$ 200,000	\$ 225,000	\$ 235,000	\$ 210,000	\$ 235,000
<b>Project Total Cost</b>	\$ 454,260	\$ 449,420	\$ 339,700	\$ 578,000	\$ 587,696	\$ 380,000	\$ 450,000	\$ 433,000	\$ 420,000	\$ 405,000

## 3.2 Projects summaries

108. A project summary is presented for each of the cluster countries in a separate Appendix to the present report, which contains the following information:

- Brief description and introduction with reference to the first NIP, institutions involved and counterparts organisation;
- List of Post-NIP Projects related to POPs that are currently being implemented;
- Project approval, timing and duration;
- Project costs, co-financing and execution arrangements;
- Status of the Services to be provided in each component;
- Review of the deliverables by component;
- Priorities identified under the first NIP.

## 3.3 Main findings

109. This section provides the main findings with regard to the evaluation criteria in the cluster countries. It shall be read together with the documentary review of the available documentation (the results of which are listed Annex F), the analysis of the questionnaire survey presented under Annex E and the project summaries introduced above and presented as Appendixes to the present report.

110. The assessment was based in factual evidence collected and triangulation analyses from the different sources identified under section 1.3 above: documentary review; semi-structures interviews; field visits; detailed questionnaire survey; and qualitative assessment of the project outputs.

### 3.3.1 Relevance

111. The relevance of the NIPs review and update projects to the environmental priorities and strategies in the cluster countries are evident from the different sources of information. The 1st NIP is considered a strategic document, which has provided the rationale to amend or adopt new legislation. Some examples are provided below:

- Mongolia amended the Law on Waste and Environmental Impact Assessment, banned the use and import of POPs pesticides and adopted the PCBs Regulation
- Mozambique has amended the Waste Management Law (Decree 13/2006 of 15 June) thought a regulation that is in the process of enactment by Parliament;
- Macedonia integrated the NIP into the National Strategy for Sustainable Development of and in the NPAA (National Programme for Adoption of the Acquis Communautaire);
- Zambia has reviewed the Environmental Management Act (2011) to incorporate provisions on chemicals management and banned the importation and use of Aldrin, Dieldrin, Endrin, Heptachlor, Hexachlorobenzene, Mirex and Toxaphene and restricted the DDT and Chlordane to malaria vector control and termites in construction sector.

112. The 1st NIP is also considered to have been instrumental in the establishment of a baseline and demonstration of the fragilities of chemicals management at national level.

113. The expectations of the cluster countries regarding the relevance of the 2nd NIPs to their countries include:

- Raise the political profile of chemicals/POPs within the national decision makers;
- Availability of funds to implement post 2nd NIP projects;
- Integration of the new environmental concerns of the new developments at country level in the environmental strategies and priorities;
- Enactment legislation that allow chemicals to be managed within the same framework instead of the more common fragmented approach;
- Entry into force of the new legislation adopted and its effective enforcement;
- Adopt a NIP that is implementable and contributed to the effective protection of human health and the environment from POPs;
- Address the environmental challenges (such as controlled use of DDT).

### 3.3.2 Effectiveness

114. The outcome of the project outputs in each of the cluster countries have been evaluated against: (i) the execution arrangements requirements and; (ii) the quality assessment of the project outputs (workshop reports, inventories and updated NIP) as presented under sub-section 1.3.5 above and Annex H which was not undertaken for Mozambique since as of 30 November no outputs had been delivered.
115. With regard to the coordination mechanisms the ToR are very detailed in what concerns the functions of the NSC and their degree of involvement in the 2nd NIPs review and update. These functions include:
- Review and approve the national work plan developed by the NPC
  - Participate at the National Inventory Validation Workshop
  - Review the preliminary inventories and assessments in consultation with the Team Leaders
  - Assist the NPC in draft the terms of reference, select and recruit an independent expert to review the inventories and assessments.
  - Review and approved the proposed criteria, objectives and priorities
  - Participate at the Priority setting and validation workshop
  - According to the country's procedures, the NPC will submit the NIP, through the NSC, to the Government for endorsement.
116. Members of the NSC participate actively in the decision making process with regular meetings, attend the workshops, and review the deliverables in all the cluster countries. In Swaziland, for instance, the NSC was set up following the "Step-by-step companion guide to the review and updating of the NIPs" (2001)<sup>22</sup> developed by the Secretariat of the SC.
117. In the majority of the cases, however, countries have failed to notify UNIDO of their nominations as required by the ToR. To get the names and contacts of the NCS members the Evaluation team had to contact the NPC/NPM since this information was, in the majority of the cases, not kept by PMs.
118. In some countries nominations have been done through official orders. That was the case of Honduras where the National Commission for the Environmentally Sound Management of Chemicals (CNG) has been officially nominated through Executive Decree (August 2013)<sup>23</sup> and of Costa Rica which has designed a special coordination mechanisms

<sup>22</sup> <http://chm.pops.int/Portals/0/download.aspx?d=UNEP-POPS-NIP-GUID-StepCompanion.En.pdf>

<sup>23</sup> *Comisión Nacional para la Gestión Ambientalmente Racional de los Productos Químicos* established by Executive Decree PCM-

and the Technical Secretariat for the Management of Chemicals was established prior to the 1st NIP through Executive Decree<sup>24</sup>. This Secretariat oversees the Executive Directorate which, with its Technical and Administrative Coordination Committees, follows up the NIP implementation process and the work of the national consultants.

119. The project has been effective with regard to the overall level of involvement of the target beneficiaries, which have been reached through regional and national workshops and during the inventories. However in some cases due to the size of the country and the limitation of funds the inventories did not cover the whole country leaving many target beneficiaries unreached.

120. Only a few cases were found of the effectiveness of the project with regard to awareness raising and public information of the wider public:

- Zambia which has developed a National Communication Strategy on the National Implementations Plans for POPs<sup>25</sup> and the site of the Environmental Management Agency contains specific information on POPs<sup>26</sup>;
- Honduras which is using the social media to inform about the NIP developments<sup>27</sup> and has produced several informative leaflets on the project;
- In Jordan the inception workshop was covered by the national media.

121. Cluster countries were requested, through the questionnaire, to specify for each POP regulated by the SC the level of detail of the new or updated inventory. The level of detail of the inventories was quantified based on rating reported in Table 3 of Annex E. Table 10 below provides a brief analysis of the level of detail of the inventories and the percentages of cases for which a strategy was drafted is reported. Despite the complexity of the questionnaire related to the level of detail of the inventories a satisfactory number of answers were provided.

122. Based on the questionnaire survey, the average perceived level of detail is the highest for PCBs. Indeed, PCBs are the POPs for which inventories most often imply sampling and analysis, and its inventory methodology is quite a consolidated. The lowest answer ratio concerned PBDEs substances, whilst PCBs and PCDD/F received the highest number of answers. However the answer ratio for all the substances was in the order of 60%. Similarly, the value for PCDD/F, PBDEs and PFOs was expected as the inventory for these substances is in most cases based on emission or concentration factors provided by official guidance document. PCBs are also the substance for which more frequently a strategy is drafted, followed by PFOs (which is rather surprising due to the lack of information which generally affects PFOs inventories). However, considering that a strategy should have been drafted for all POPs, taking the percentage of cases for which a strategy has been drafted as an indicator of effectiveness, this appears quite low.

123. Completeness of the inventories was also assessed based on the documentary review of the available inventories for the cluster countries as reported in detail in Annex H and summarised below:

- Inventories of PCBs consist usually in an update of the previous inventory, and implied in most of the cases the conduction of sampling and analysis campaign to identify PCB contaminated equipment. Although the resource and time available have not allowed for

---

035-2013 which approves the establishment of the CNG published in August 2013 in the Official Journal of Honduras

<sup>24</sup> Executive Decree 33104– RE-MAG-MINAE-S from 7 June 2006

<sup>25</sup> The final version was made available to the Evaluation Team. The Draft version is available at:

<http://www.necz.org.zm/pops/downloads.html>

<sup>26</sup> <http://www.zema.org.zm/pops/>

<sup>27</sup> <https://www.facebook.com/PROYECTOACTUALIZACIONPNICOPSHONDURAS>

a complete identification of PCB equipment, nevertheless the update of PCBs inventories are of practical direct usefulness;

- Inventories of PCDD/F always follow the rules established under the last version of the UNEP U-POPs toolkit. The level of detail of these inventories therefore strictly follows the level of detail established in the UNEP toolkit. These inventories are of practical usefulness for the identification of priority sectors and establishment of BAT criteria in the relevant sectors. However, not always the assumptions adopted for selecting the emission factors are clearly detailed in the inventory reports;
- Inventories of POPs pesticides are among the most problematic, as these imply the identification, inspection and assessment of stockpiles scattered in the territory of the countries. This is usually not possible under the limited resource made available under the NIP review and update projects. Therefore in all the cases the inventory of pesticides are limited to the few stockpiles identified and very often the amount of pesticide stored is uncertain;
- Inventories of PBDEs usually follows the guidance established under the SC for these substances, addressing mostly the E-waste and the transportation sector. These inventories are mostly based on import / export statistics of the relevant articles/goods. In a few cases the inventories are supported by a limited number of screening analysis carried out with XRF detectors. These inventories provide the amount of brominated POPs existing in specific categories of article or waste and are useful for demonstrating the severity and potential existence of an issue which however need to be addressed by policies covering the whole lifecycle of these products (manufacturing, import/export, waste management);
- Inventories of PFOs in most of the cases demonstrate the difficulties to gather relevant information to apply the recommended SC guidance on PFOs inventory. Inventories of PFOs are made complex by the number of potential application these substances may still have. In some cases small amount of PFOs substances have been identified for instance in fire extinguishing products.

Table 10: Level of detail of the inventories based on the answers from the questionnaire survey

Inventories	Pesticides	PCBs	PCDD/Fs	PBDEs and other U-POPs	PFOS
Answer ratio % (answers provided for each specific inventory over the number of questionnaire distributed)	0.64	0.65	0.65	0.59	0.62
Average level of detail(*) <sup>28</sup>	2.27	4.18	2.68	3	2.53
Strategy drafted % (percentage of cases for which it has been reported that a strategy for that class of POPs has been developed)	0.38	0.56	0.47	0.38	0.53

<sup>28</sup> (\*)5=Detailed inventory including identification, sampling and analysis of all known sources/stockpiles; 4=Preliminary inventory based on limited sampling and analysis among known sources/stockpiles; 3=Estimation of quantities based on direct survey and use of emission factors (i.e. UNEP toolkit) - no sampling or analysis; 2=Estimation of quantities based on emission factors (i.e. UNEP toolkit), no surveys; 1=Qualitative information ; 0=No inventory has been carried out

124. The analysis of the technical documentation provided by the cluster countries revealed the fact that the inventories benefitted from both the support of national and international experts (which were perceived as a very valuable component of the UNIDO assistance) and the existence of practical guidance documents (the UNEP toolkit and the UNEP/UNIDO/UNITAR guidance on new POPs). All the inventory reports for U-POPs and industrial new POPs are based on these guidance, whilst with regard to the other inventories (PCBs, pesticides) the approaches are not standardized and range from very generic inventories to detailed inventories involving also identification of stockpiles, sampling and analysis (some PCBs and pesticide inventory).
125. It seems that the purpose of the inventories is rather to quantify the amount of POPs possibly existing in each country than to track the sources of POPs for future management. Indeed this also reflects the main purpose of the existing guidance, which is more addressed at quantifying POPs sources than at their tracking and management. Obviously, a complete tracing of the POPs stockpile and source is not possible with the available project resources; however, at least a pilot activity on contaminated equipment (like the one carried out in a few cases on the identification and labelling of PCB) may have been useful for the post-NIP management of POPs.
126. A detailed qualitative assessment of the project outputs for each of the cluster countries is provided under Annex H.

### 3.3.3 Efficiency

127. The project implementation is delayed in all the cluster countries with the exception of Mongolia and Macedonia, which have concluded implementation nearly within the timeframe for, and Costa Rica which has completed the 3 first components within schedule. Extensions have been agreed with Costa Rica, Honduras, Jordan, Mongolia, Mozambique, Swaziland, Tanzania and Zambia.
128. The efficiency of the project has been compromised by several factors besides those identified under sub-section 2.6.3 above. The critical phases are contracting/procurement and inventories for the reasons presented below:
- Time required for the project approval which in some of the countries has meant that once the project is finally approved the national priorities for the coming year may no longer include the NIP review and update;
  - Time required to recruit national and international consultants;
  - The effective entry into force of the execution arrangements - some countries have reported communication problems with UNIDO HQ which has demonstrated limited capacity to accommodate the national specificities which are not compatible with the "fits all" approach followed by UNIDO in the implementation of this project;
  - Poor data collection system (not systematically kept) and complexity of the new inventories;
  - Delay in disbursement of funds from UNIDO- some countries reported that after submitting the inception workshop report they had to wait for the release of funds before conducting the inventories which delayed the whole process of data collection;
  - Time required to get the instruments for the inventories which delayed component 2 quite considerably.
129. All the evaluation sources confirm that the implementation time-frame requires more time to conduct all project components - the time-frame is even less realistic due to the fact that it includes the endorsement and submission of the NIP which is not within the control of the NEA and can take a considerable amount of time. Also when the implementing agency is not represented at national level more time is required for articulation and contracting.

130. Different implementing agencies have been involved with the original NIP in the cluster countries: UNIDO (Macedonia, Mongolia, Swaziland and Tanzania); UNEP (Costa Rica, Jordan, Mozambique and Zambia) and UNDP (Honduras and Philippines). Besides the reasons identified under sub-section 2.6.3 above, cluster countries have pointed out the following to select UNIDO as the implementing agency:
- Recommendation from GEF that the country should get the support of other agency in the implementation of the 2nd NIPs;
  - Expectation of an easier access to funds;
  - Proactivity of UNIDO, which has approached some of the countries quite earlier in the process.
131. One country has reported its regret to have opted for UNIDO as the implementing agency of the NIP review and update mainly due to administrative burden of such a small project which should be dealt in a more efficient way by UNIDO HQ and the fact that UNIDO should promote better the ownership of the project by the Government counterparts.
132. Those countries that were assisted by UNIDO already in the first NIP have demonstrated a general level of satisfaction with the level of the services provided, technical know-how, strong network and continuity.
133. Representation at country level is considered a very big advantage in the liaison with the implementing agencies. With regard to the other implementing agencies some country representatives reported that their fees are lower than those of UNIDO and the overall perception was the following:
- UNEP: not a specialised agency but is regarded very proactive and flexible agency;
  - UNDP: very active in the preparation of post-NIP projects (PCBs and Mercury projects are being designed for example).
134. Annex F provides a detailed list of project outcomes by each of the 51 countries and section 3.4 below highlights the project outcomes and outputs in each of the cluster countries.

### **3.3.4 Sustainability**

135. The National Coordination Mechanism is serving all the chemical conventions in most of the cluster countries and the focal points for the Basel, Rotterdam and Minamata are members of the NSC.
136. SAICM is regarded as an important approach to chemicals management namely with regard to:
- Promotion of multi-stakeholders approach to the sound management of chemicals and waste;
  - Legal and institutional framework, which was very useful for the Review and Update of the Legal, Institutional and Policy Frameworks under the NIP review and update.
  - Development and update of the National Chemicals Management Profile which are regarded as a very useful instrument;
  - Supportive in the development of post-NIP projects.
137. Few countries have declared that a financial or regulatory mechanism was in place for securing the sustainability of updated NIPs.

138. In some countries, the POPs unit in charge of the NIP review and update were permanent bodies established under the Ministry of Environment, with a key role in the environmental decision making of the country.

### 3.3.5 Project coordination and management

139. Regarding the national management and coordination it was noted that the exercise is always ministry led in direct communication with UNIDO Project Manager and that, with a few exceptions, there is very limited articulation or coordination with the Field Offices (FO) and the regional bureaus of UNIDO.

140. The roles and responsibilities of the different partners in the implementation of the projects at national level are clear from the execution arrangements but these are not always followed due to different contextual reasons and improvement could be made with regard to:

- PCU: better articulation between NPC and NPM as some overlaps have been identified;
- NSC: should have a greater degree of autonomy from the NEA and play a more independent role in the decision making process;
- National consultants: should be provided with technical and timely guidance from NEA;
- International consultants: should spend more time in the country and international exchange should be promoted.

141. Articulation between UNIDO HQ/PMs and PCU is overall good and fluid - good expertise and staff continuity. However room for improvement has been identified on:

- Communication: in most of the cases beneficiary countries have not officially notified UNIDO of their nominations to the NSC which is an indication of poor communication between the PCU and the PMs;
- Quality control: deliverables are accepted by Procurement for payment without a quality control from PMs who don't keep a record of the deliverables;
- Monitoring: Progress Reports have only been found in a few cases.

142. In accordance with UNIDO Secretariat Structure 2014<sup>29</sup> the FO are responsible for representing UNIDO in the host countries and promoting the Organization as an effective partner for development, and for this purpose maintain close contact with all local stakeholders at the country and regional levels as appropriate, including government institutions and international entities. They are further responsible for identifying national development and donor funding priorities in the countries and regions of coverage, and to support the formulation and monitoring technical cooperation projects and programmes, in collaboration with the relevant technical Branches and other appropriate organizational units. The field offices are also responsible for coordinating and reporting on UNIDO activities in their countries of coverage, and providing inputs into the development of regional strategies and policies.

143. On the other hand Regional Bureaus are responsible for determining regional strategies and programmatic priorities for UNIDO's services, and ensuring that UNIDO responds to the specific needs and requirements of Member States. The five Bureaus cover Africa, the Arab Region, Asia and the Pacific, Europe and Central Asia, and Latin America and the Caribbean.

---

<sup>29</sup> Director General's Bulletin UNIDO/DGB/2014/01 30 June 2014

144. It was found however that the role of the FO in the NIPs formulation, review and update has been, with a few exceptions, very limited (mainly ceremonial). Those that were interviewed during the field missions seemed very busy entities with big portfolio and lack of resources. It should be noted however that no specific role has been assigned to them in the project documents.

145. As for the Regional Bureaus interviews conducted during the inception phase at UNIDO HQ demonstrated that they play an overall coordination role but have very limited information on the implementation of the NIPs review and update in their respective regions. It should be noted that no specific role has been assigned to them in the project documents.

### 3.3.6 Cross-cutting issues

146. In accordance with Article 7(2) of the SC Parties shall:

Art. 7 (2) of the SC establishes:

*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.*

147. Pursuant do Decision SC-1/12 and Decision SC-2/7 of the CoP to the SC the Secretariat has developed guidance document on Socio Economic Assessment of NIPs<sup>30</sup> in order to assist Parties to conduct a socio-economic assessment when developing or implementing their NIPs under the SC.

148. Socio economic assessments were carried out by Macedonia, Philippines, Honduras and Costa Rica although they have not covered all the POPs in all the countries. Socio-economic assessment issues were also introduced by Swaziland and Zambia during their training, and by Mongolia in the Endorsement workshop. In the Philippine, a consultant was specifically allocated to socio-economic assessment throughout the development of the POPs inventories. Honduras in September 2014 elaborated a Socio-Economic Study for the Management of Industrial POPs and in November 2014 adopted the Preliminary strategies to strengthen the socio economic framework on POPs management.

149. On gender, guidance has been provided by the SCU but countries have only integrated it in a few cases. Often countries do little things (Ex: list of participants) but in general have reported that it is difficult to convey gender in the NIP exercises.

150. A detailed assessment of the integration of gender in UNIDO's EA for 2nd NIPs and is provided in Annex G.

## 3.4 Project outcomes and outputs

151. Table 11 (next page) summarizes the EA components - the expected outputs by main project outcomes in each of the 10 cluster countries.

---

<sup>30</sup> Guidance on Socio-Economic Assessment on National Implementation Plan Development and Implementation under the Stockholm Convention (March, 2007)  
<http://chm.pops.int/Implementation/NIPs/Guidance/GuidanceonSocioEconomicAssessment/tabid/3168/Default.aspx>

Table 11: Summary of the Project Outputs by country

EA COMPONENT (Outcomes)			Coordination Mechanism and awareness raising		Inventories of new POPs and NIP review		National Capacities Assessment		NIP formulation, endorsement and submission		Final report endorsement workshop and Final Audited Financial Statement)		
Country	UNIDO (PAD issuance)	Contract entry into effect	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Extended completion date
Costa Rica	08/03/2013	Sep-13		Nov-13		Sep-14		Oct-14					30-Apr-15
Honduras	18/02/2013	Jun-13		Feb-14									30-Apr-15
Indonesia	18/10/2012	Mar-13	Jun-13			Oct-13	Nov-13	Apr-14	Jan-14	Sep-14	Jan-14		30-Apr-15
Jordan	04/03/2013	May-13	Jul-13	Nov-13	Jan-14		Jan-14		Mar-14		May-14		30-Jun-15
Macedonia	23/05/2012	Jul-12	Sep-12	Oct-12	May-13	Oct-13	May-13	May-13	Jul-13	Apr-14	Jul-13	Jan 14	
Mongolia	30/10/2012			Dec-12				apr-14				Jun-14	31-mar-15
Mozambique	21/08/2013	Jan-14	mar-14	Oct-14	Sep-14		Sep-14		Jan-15		Jan-15		31-Oct-15
Philippines	27/07/2012	Oct-12	nov-12		Aug-13	Jul-13	Aug-13	Dec-13	Oct-13	Jul-14	Oct-13		
Swaziland	08/03/2013	apr-13	May-13	Jun-13	Dec-13	mar-14	Jan-14	Sep-14	feb-14		apr-14		30-Jun-15
Tanzania	17/12/2012	Jun-13	Jul-13	feb-14	Jan-14		feb-14		Jun-14		Jun-14		31-Aug-15
Zambia	16/05/2013	Jun-13	Jul-13	Aug-13	Feb-14		Feb-14		Apr-14		Jun-14		30-Jun-15

152. As of 30 November 2014 this is the status of project outcomes by country organised by order of phase of implementation: Mozambique has started phase 1 and has not yet produced any output; Jordan has concluded phase 1 and submitted the Inception and Training Report; Tanzania is at phase 2 and has submitted the Inception and Training Report and collected all the data for the inventories (with the exception of industrial waste); Zambia has concluded phase 2 with all the inventories produced, discussed and validated by the Working Groups and the NSC; Costa Rica, Honduras and Swaziland are at phase 3 of implementation with all the outputs produced; Macedonia and Philippines have finalized their NIPs and Mongolia has submitted the endorsement workshop report but the NIP update is still under review.

### 3.5 Assessment summary by country

153. The present section summarises the assessment of the projects in all the cluster countries by evaluation criteria. Overall the Evaluation team found that, although the NIP review and update activities carried out with UNIDO's assistance benefitted from a common results framework and from similar execution arrangements (in 7 of the 10 cluster countries), each country implemented the activities following its own mode and is, as of 30 November 2014, in a different stage of implementation.

154. The fact that the projects are at different stages of implementation in each of the cluster countries results that in some this evaluation should be considered as a terminal evaluation, for others a mid term evaluation and for one of the countries no evaluation should be attempted since the project as just started. For this reason, any comparison among countries is strongly discouraged. The semi-quantitative assessment presented below, in compliance with the ToR requirements, cannot be used as a comparative ranking among countries.

155. The assessment presented below was based in factual evidence collected and triangulation analyses from the different sources identified under sub-section 1.3 above: documentary review; semi-structured interviews; field visits; detailed questionnaire survey; and qualitative assessment of the project outputs. It should be read together with the following Annexes:

- Annex E: Questionnaire survey analysis;
- Annex F: Project outputs by country;
- Annex G: Evaluation grid.

156. It should be noted that given the status of implementation in Mozambique and the fact that no response was received from this country to the questionnaire survey the assessment is only based on the documentary review and interviews undertaken during the field visit. As such no overall rate is presented but only with regard to the information collected from the documentary review and field visits.

#### 3.5.1 Relevance

157. **Costa Rica: Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

Only two questionnaires were answered, and the rating proposed is largely based on the answers received by the only respondent, who identified some needs for improvement (improvement in information system on industrial processes and improving POPs policies).

*Rating based on interviews and documentary evidence: Highly satisfactory*

From the documentary review, exchange of information and interview with the Costa Rica's representative it emerged that the NIP review and update is very relevant for the country which has officially established a specific coordination mechanism, prior to the first NIP in charge of chemicals management. This Project Coordination Mechanism has been in charge of the NIP review and update and oversees the work of the national experts. The large and high level of attendance at the inception workshop is a clear indication of the relevance of the NIP review and update for the country, which expects to enhance the coordination mechanism established for the integral management of waste as E-waste and brominated POPs are the two priorities of the 2nd NIP for Costa Rica.

**158. Honduras: Highly Satisfactory**

*Rating from the questionnaire survey: Highly Satisfactory*

The key factor emerging from the nine responses to the questionnaire is that the issue of POPs is included in the National Sustainable Development Strategy; National Environmental Strategic Plan, and the National Waste Management Strategy. Other country level initiatives reported by the respondents, with which the NIP review and update was considered aligned and relevant, concerned pesticide management plan and management of pesticide contaminated sites.

*Rating based on interviews and documentary evidence: Highly Satisfactory*

The official establishment of the National Commission for the Environmentally Sound Management of Chemicals, via Decree from August 2013, involving a wide range of stakeholders, and whose mandate included the coordinating of the working groups involved in the various components of the project, demonstrate the relevance of the project to the country and its engagement.

**159. Jordan: Moderately Satisfactory (limited to inception activities)**

*Rating from the questionnaire survey: N/A Only (only one answers which rated the relevance as satisfactory without providing any additional motivations for that rating were received)*

*Rating based on interviews and documentary evidence: Satisfactory*

From the interviews and documentary evidence emerged that there are "great expectations related to the creation of awareness, inventory and technical capacity leading to a sustainable administration of new POPs within the country and creating the necessary policies". Although the project is at its initial stage of implementation, the large and high level of participation of the inception workshop reinforced the assumption that the NIP review and update is relevant for the country.

**160. Macedonia: Highly satisfactory**

*Rating from the questionnaire survey: Satisfactory*

The key fact emerging from the questionnaire is that NIP is integrated in the national strategy and in the NPAA (National Programme for Adoption of the Acquis Communautaire National Strategy for Sustainable Development of the Republic of Macedonia).

*Rating based on interviews and documentary evidence: Highly Satisfactory*

From the interviews documentary analysis emerged that the issue of POPs is at the core of the environmental strategy of the country, given also the fact that the country is in the procedure of accession of the European Union. The POPs committee, which was in charge of NIP updating, is a

permanent structure of the Ministry of Environment in Macedonia and plays an important role in the environmental decision making of the country

#### **161. Mongolia: Moderately Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

The rating was penalized by the fact that the two answers received were incomplete. However, from the questionnaire it emerged that the issue of POPs is consistent with the Mongolia Green Development Strategy (GDS).

*Rating based on interviews and documentary evidence: Satisfactory*

No direct interview with people in charge of the Mongolia NIP was carried out. From the analysis of available documentation, the significant involvement of authorities and stakeholders in the project workshops testifies the relevance of the NIP review and update for the country.

#### **162. Mozambique**

*Rating based on interviews and documentary evidence:*

All the nine stakeholders interviewed during the field visit confirmed the relevance of the NIP review and update for raising the profile of POPs in the country. As a consequence of the NIP legislation has been amended and new regulations are in the process of enactment. The relevance of the project is even more evident by the fact that Mozambique has been one of the world's most rapidly growing economies over the past five years and therefore the action plans will contribute to assess the environmental impacts of the developments in the country,

#### **163. Philippines: Highly satisfactory**

*Rating from the questionnaire survey: Satisfactory*

Based on the questionnaire, it emerged that the POPs issue and the NIP updating are at the core interest not only of governmental agencies (the Chemical Management section of EMB) but also of the private sector, specifically on the side of alternatives to POPs.

*Rating based on interviews and documentary evidence. Highly Satisfactory*

All the people who were interviewed during the site visit in the Philippine confirmed the relevance that the updating of NIP has for the country. The country has a long history of regulation of POPs and POPs related issues which have been at the core of environmental debate in the recent years, with specific reference to U-POPs, PCBs, management of hazardous waste.

#### **164. Swaziland: Moderately Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

Based in the six responses received to the questionnaire survey, it emerged that the POPs issue and the NIP updating are compliant with the country environmental strategy and policy on waste management, however few details were provided.

*Rating based on interviews and documentary evidence: Satisfactory*

All the seven stakeholders interviewed during the field visits confirmed the relevance of the NIP review and update to the country mainly as it has the potential of raising the profile of chemicals. Legislation is very fragmented and the NIP review and update is considered has having the

potential to contribute to the holistic management of POPs taking into account the new POPs which would form the basis for a framework law on chemicals.

**165. Tanzania: Satisfactory**

*Rating from the questionnaire survey: Satisfactory*

From the questionnaire resulted that the NIP review and update is in line with the National Strategy for Growth and Reduction of Poverty (NSGRP) of 2004 and the Tanzania's Development Vision 2025, which call for improvement of quality of life and social wellbeing.

*Rating based on interview and documentary evidence: Satisfactory*

The relevance of POPs has been demonstrated by the fact that the review of the National Environmental Act (2004) has incorporated issues that have emerged from the first NIP; the same evidence was found with regard to training of environmental inspectors and law enforcement on POPs issues.

**166. Zambia: Moderately Satisfactory**

*Rating from the questionnaire survey: Moderately unsatisfactory*

Only two questionnaires were answered. The respondents provided similar answers related to the relevance of the NIP review and update for the country. However few evidence was provided supporting this statement.

*Rating based on interviews and documentary evidence: Satisfactory*

According to information obtained during the interview the Environmental Management Act (2011) is being reviewed to incorporate provisions on chemicals. Also the License Regulation of 2013 entitles the Zambia Environmental Management Agency to advise to "ban, severely restrict or restrict the use or production of a pesticide or toxic substance" when their unregulated use or production "is or is likely to be harmful to human health, animal or plant life or the environment".

### **3.5.2 Effectiveness**

**167. Costa Rica: Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

Based on only two respondents answering the questionnaires, out of which one was the simplified questionnaire. From the two questionnaires emerged a good inventory work based on emission factors, but the impact of the NIP review and update was considered low.

*Rating from the technical analysis of key reports: Satisfactory*

Information has been provided on the inception and training workshops. Preliminary inventory reports, mostly as draft working documents, have been made available to the Evaluation team. PCB inventory is missing.

*Rating based on interviews and documentary evidence: Satisfactory*

The Technical Secretariat for the Management of chemicals meets once a month and there is an overall active engagement from the different stakeholders, especially those representing the industrial sectors when dealing with products of their industries.

**168. Honduras: Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

The result of the questionnaire in this case is considered not very reliable and is attributable to the fact that most of the respondents did not answer the questions related to the inventory of POPs.

*Rating from the technical analysis of key reports: Highly Satisfactory*

A Report of technical and administrative implementation describes the activities undertaken from June 2013 to July 2014 and has been updated from July 2014 to May 2015. An Inception workshop for high-level commitment was held in February 2014 but no report was made available. For Honduras, separate inventory reports were carried out for each class of POPs. The inventories have been completed based on the SC guidance and are of very good technical quality. The inventories documents do not contain action plans with objective, budget and timeframe. For U-POPs and industrial POPs strategic action plan were developed.

*Rating based on interviews and documentary evidence: Satisfactory*

There is a high degree of consultation among the different stakeholders and information sharing. Honduras has been very active in involving the target beneficiaries and specific awareness raising materials have been developed for that purpose.

**169. Jordan: Satisfactory (limited to inception activities)**

*Rating from the questionnaire survey: N/A*

*Rating from the technical analysis of key reports: Satisfactory*

The inception report material was good from both the technical standpoint and the involvement of the key stakeholders.

*Rating based on interviews: Moderately Satisfactory.* The interview and the analysis of the available material demonstrate the potential for a satisfactory implementation of the project

**170. Macedonia: Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

Again, in the case of Macedonia the result of the questionnaire survey on effectiveness was not very reliable and is mainly attributable to the fact that several respondents did not answer most of the questions related to the inventory of POPs. Due to the mechanism adopted for evaluating questionnaires answers that lowered significantly the score for Macedonia.

*Rating from the technical analysis of key reports: Satisfactory*

All the reports were of good technical quality and contained all the components required under SC guidance, including priority and budgeted action plans arranged by theme.

*Rating based on interviews and documentary evidence: Highly Satisfactory*

Reportedly, staff from the POPs unit in Macedonia provides also assistance also to other countries in implementing POPs inventories, and accumulated experience due to the fact that this a permanent structure in charge of SC since the first NIP.

### **171. Mongolia: Moderately Satisfactory**

*Rating from the questionnaire survey: Satisfactory*

The respondents considered the inventory work of a good quality, provided answers to most of the inventory-related questions, and perceived the impact for the country as significant.

*Rating from the technical analysis of key reports: Moderately Satisfactory*

Based on the received information and documentation, inventories were carried out for Pesticides, POPs PBDEs, PCDD/F. For PBDEs, an x-ray fluorescence detector was procured and used for on-site detection of brominated compounds. The PCBs inventory was not provided; some results of updated inventory of U-POPs need likely to be reconfirmed due to the surprising difference with the previous inventory.

*Rating based on interviews and documentary evidence: No interview of Mongolian staff was held*

### **172. Mozambique**

*Rating based on interviews and documentary evidence:*

During the field mission and attendance of the inception workshop it became evident that the coordination mechanisms were still at their early stages, with many of the stakeholders interviewed unaware of their role in the NSC. As of 30 of November the work plan was still under preparation.

### **173. Philippines: Satisfactory**

*Rating from the questionnaire survey: N/A.* Most of the respondents did not provide enough answer to the section of the questionnaire relevant to the effectiveness. This was quite surprising and conflicting with the technical analysis of key documentation and interviews which revealed a good level of the work carried out in the country.

*Rating from the technical analysis of key reports: Satisfactory*

Workshop reports and work-plans made available under the DLSU website. (<http://popstoolkit.dlsu.edu.ph/Home.aspx>) The inventory of the original 12 POPs was revised and updated. Main issues identified and solution and actions proposed in the action plans. A website for POPs inventory established at DLSU New POPs inventories are of good technical quality and compliant with SC requirements, although few information on the calculation assumptions are reported in the draft of the updated NIP.

*Rating based on interviews and documentary evidence: Satisfactory*

12 staff from different governmental and academic institutions, specialised on POPs issues, were interviewed in the course of the field visit to the country. From the interviews emerged that industries were involved in many rounds of technical consultations in the course of NIP review and update activities and provided first-hand information. The impact of the NIP review and update is reported as higher and more practical compared to the original NIP.

### **174. Swaziland: Satisfactory**

*Rating from the questionnaire survey: Moderately Unsatisfactory*

The answers provided in the questionnaire were not very consistent, ranging from MU to Highly Satisfactory. Partially this is due to the fact that in most cases the section on effectiveness was left incomplete by the respondents.

*Rating from the technical analysis of key reports: Satisfactory*

The inventory activities included direct survey with portable detectors for PCBs and PBDEs, and a very detailed inventory of pesticides. Inception workshop report and work-plans made available and containing the information required by the ToR.

*Rating based on interviews and documentary evidence: Highly satisfactory*

The NSC was re-established (but not through formal designation) and submission of official letter to UNIDO HQ on the composition of the NSC. All the respondents confirmed that the meetings are very participative and the NSC is very involved in the decision making process, members have a very good knowledge of the issues and are motivated. Some target beneficiaries have been invited to attend the workshops which were highly participated with high level and UNIDO representation.

**175. Tanzania: Satisfactory (limited to inception activities)**

*Rating from the questionnaire survey: N/A (only one respondent providing incomplete answers)*

*Rating from the technical analysis of key reports: Satisfactory*

Training and inception workshop held. Training was conducted in a series of short lectures through slides projection/plenary sessions, assignments and interactive discussions. The training report was part of the inception report and included material on the inventory of industrial POPs (PFOs and PBDEs), legal obligations, action plan development, unintentional POPs.

*Rating based on interviews and documentary evidence: Satisfactory*

Inception and training workshops were very participative with the participation of all members of the NCS, which was re-established. Information provided as required by the ToR with a few missing data (see Appendix 9).

**176. Zambia: Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

The answers to the questionnaire showed that the inventory activities was still incomplete but the expected changes attributable to NIP inventory is significant.

*Rating from the technical analysis of key reports: Moderately Satisfactory*

Inception activities were successfully concluded and reported. A comprehensive training was carried out. Inventory reports have been provided to the Evaluation team still as draft document, therefore the concerns expressed in the technical analysis about some of them could be solved in the final inventory reports. An XRF has been used for testing BRF in waste.

*Rating based on interviews and documentary evidence: Highly Satisfactory*

The NSC was re-established with the same institutions, which have been asked to nominate new representatives, and new representatives for the new POPs were trained by international consultant based on the guidance documents. So there is a high level of informed participation in the decision making process. A communication strategy was developed and awareness programmes have been developed to reach the different target groups including through the webpage of the NIA.

### 3.5.3 Efficiency

#### 177. Costa Rica: Satisfactory

*Rating from the questionnaire survey:* Satisfactory based on two answers from the questionnaire, out of which one provided limited information on efficiency)

*Rating based on interviews and documentary evidence:* Satisfactory

The technical support provided by UNIDO has been considered very good (guidelines and expertise). However some complains were registered with regard to the administrative support and lack of flexibility from UNIDO to adjust to the countries contexts.

The time frame for the project implementation is summarized below: compared with the initial project timeframe of 12 months reported in the project document, the new deadline set by UNIDO envisages duration of around 20 months. The first 3 components of the project were completed within schedule (see Appendix 1). Inventories have been considered the critical phase of the project cycle and component 4 should not include the endorsement and submission of the NIP, by the country representative.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for contract with country partners after PAD	Days for expected completion after contract entry into effect	Days for expected completion after GEF approval	Current status
132	52	184	599	835	Phase 3

#### 178. Honduras: Satisfactory

*Rating from the questionnaire survey:* Satisfactory

All the respondent agreed on the quality and timeliness of support provided by UNIDO. With few exceptions, there was a general perception that the timeframe was not sufficient for concluding all the activities especially when the implementing agency is not represented at country level.

*Rating based on interviews and documentary evidence:* Satisfactory

From the interviews it resulted that the overall level of support provided by UNIDO was considered technically very good but the project design was not adapted to the country context.

The time frame for the project implementation is summarized below: compared with the initial project timeframe of 12 months reported in the project document, the new deadline set by UNIDO envisages duration of nearly 2 years. Contracting/procurement and inventories have been considered the critical phases of the project cycle, by the country representative.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for contract with country partners after PAD	Day for expected completion after contract entry into effect	Day for expected completion after GEF approval	Current status
80	66	105	696	867	Phase 3

**179. Jordan: Moderately Satisfactory.**

*Rating from the questionnaire survey:* N/A (from only one respondent to the questionnaire who did not report on efficiency).

*Rating based on interviews and documentary evidence: Moderately Satisfactory*

Based on the interview, the level of support provided by the Agency was considered very satisfactory. Reasons for delay were attributed mainly to challenges in conducting inventory, especially regarding cooperation with the industry sector to get the data, and logistics problems.

The time frame for the project implementation is summarized below: compared with the initial project timeframe of 12 months reported in the project document, the new deadline set by UNIDO envisages duration of nearly 2 years

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for contract with country partners after PAD	Day for expected completion after contract entry into effect	Day for expected completion after GEF approval	Current status
141	54	87	761	902	Phase 2

**180. Macedonia: Satisfactory**

*Rating from the questionnaire survey: Satisfactory*

All the respondents rated the support received by UNIDO from satisfactory to highly satisfactory. The general perception was that to conclude activities, from 3 months to a full additional year would have been necessary. Some of the respondents reported that the availability of guidance on new POPs facilitated the project implementation.

*Rating based on interviews and documentary evidence: Satisfactory*

Macedonia was the first country to start the NIP review and update activity. Based on the interview, the support provided by the agency was extremely useful, especially because the guidance was provided since the very beginning of the implementation. The country had also the opportunity to participate in the guidance drafting activities. The conduction of inventory and endorsement from the government required both longer than expected.

The time frame for the project implementation is summarized below: compared with the initial project timeframe of 12 months reported in the project document, the final report and NIP review and update document was delivered around 19 months after contract issuance. The reviewed and updated NIP has not been submitted to the SC CoP yet.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Contract with country partners after PAD	Day for expected completion after contract entry into effect	Day for expected completion after GEF approval	Current status
77	85	54	557	696	Phase 4 (NIP draft completed but not yet submitted)

**181. Mongolia: Moderately Satisfactory**

*Rating from the questionnaire survey: Highly Satisfactory*

The two respondents rated the support received by UNIDO from satisfactory to highly satisfactory. One of the two respondents was local UNIDO staff.

*Rating based on interviews and documentary evidence: Moderately satisfactory.*

No interview was carried out with Mongolian representatives. As the project is under direct implementation by UNIDO, it was not necessary to establish a contractual agreements with a national implementation institution. Compared to the expectation of one year for the completion of the project, the final completion is envisaged after around 32 months from GEF endorsement (30 months after PAD issuance).

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for contract with country partners after PAD	Day for expected completion after contract entry into effect	Day for expected completion after GEF approval	Current status
47	91	#N/D	#N/D	973	Phase 4

**182. Mozambique**

*Rating based on interviews and documentary evidence*

UNIDO is seen as having capacity to mobilize financial and human resources mainly due to the fact that it has an office at country level and although the first NIP has been developed with the support of another IA there is a past experience of partnership between UNIDO and MICOA. The overall status of implementation is delayed - the project should have been concluded by January 2015 but the first component started only in October 2014. The inception workshop was held on 27 October 2014 with a delay of 7 months (the initial expected date was 25 March). As of 30 November 2014 the report of the Inception Workshop was still to be submitted. One extension has been agreed for a total period of 10 months- the project is expected to be concluded by 31 October 2015. Contracting/procurement and access/compilation of the information for the inventories have been considered the critical phases of the project cycle, by the interviewees.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for contract with country partners after PAD	Days for expected completion after contract entry into effect	Days for expected completion after GEF approval	Current status
155	57	392	719	956	Phase 1

**183. Philippines: Moderately Satisfactory**

*Rating from the questionnaire survey: Satisfactory*

All the respondents rated the support received from UNIDO from satisfactory to highly satisfactory. The support was appreciated mainly for the technical competence of national and international experts.

*Rating based on interviews and documentary evidence: Moderately satisfactory*

This was also confirmed by the interviews carried out in the country. As reason for project delay, one of the issues was the coordination between De La Salle University (in charge of component 2 and 3) and EMB/DENR (in charge of supervision and component 1 and 4).

Compared to the expectation of one year for the completion of the project, the final report has been delivered around 21 months from the contract entry into effect.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for contract with country partners after PAD	Days for expected completion after contract entry into effect	Days for expected completion after GEF approval	Current status
52	70	70	647	787	Phase 4 (NIP draft completed but not yet endorsed)

#### 184. Swaziland: Moderately Satisfactory

*Rating from the questionnaire survey: Satisfactory*

The respondent rated the support received from UNIDO from moderately satisfactory to highly satisfactory. The support was appreciated mainly for the technical competence of national and international experts, but also for the delivery of training on specific issues.

*Rating based on interviews and documentary evidence: Moderately Satisfactory*

From the various interviews conducted during the field visits UNIDO is regarded as having an excellent level of expertise and capacity to accommodate to the countries contexts involving them in the process. Also the fact that it has developed a niche for NIPs makes the learning curve faster was pointing out. Its role in the process especially with regard to control of the funds was also highlighted as positive.

The time frame for the project implementation is summarized below: project timeframe of 12 months reported in the project document, the new deadline set by UNIDO envisages duration of around 26 months. The project should have been concluded by the end of February 2014 but the 4th component has not yet been initiated. Contracting/procurement has been considered the critical phases of the project cycle and component 4 should not include the endorsement and submission of the NI, by the interviewees.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Contract with country partners after PAD	Days for expected completion after contract entry into effect	Days for expected completion after GEF approval	Current status
175	92	52	792	936	Phase 3

#### 185. Tanzania: Moderately Satisfactory

*Rating from the questionnaire survey: Not available (only one respondent which provided an incomplete questionnaire)*

*Rating based on interviews and documentary evidence: Moderately Satisfactory*

Have selected UNIDO again since they were satisfied with the level of expertise and technical know-how as well as continuity of the NIP process.

The time frame for the project implementation is summarized below: compared with the initial project timeframe of 12 months reported in the project document, the new deadline set by UNIDO envisages a duration of around 26 months. The overall status of implementation is delayed - the project should have been concluded by the end of June 2014 but the 2nd Component has not yet been completed. Inventories of new POPs have been considered the critical phases of the project cycle, by the country representative.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for contract with country partners after PAD	Days for expected completion after contract entry into effect	Days for expected completion after GEF approval	Current status
8	110	191	796	1097	Phase 2

### 186. Zambia: Moderately Satisfactory

*Rating from the questionnaire survey: Moderately Satisfactory*

The 3 respondents rated the efficiency of support provided by UNIDO and from national and international expert from unsatisfactory to satisfactory. The respondents also provided indication from 3 to 6 additional months should have been necessary for project implementation.

*Rating based on interviews and documentary evidence: Moderately Satisfactory*

Have changed to UNIDO due to its knowledge on implementing chemical related projects. Bureaucracy from UNIDO and GEF were pointed out as the main challenges. The time frame for the project implementation is summarized below: compared with the initial project timeframe of 12 months reported in the project document, the new deadline set by UNIDO envisages a duration of around 25 months. The overall status of implementation is delayed - the project should have been concluded in June 2014 but the 2nd component has not yet been concluded. Contracting/procurement has been considered the critical phase of the project cycle, by the country representative.

Days for project approval by the GEF	Days for UNIDO PAD issuance after GEF Approval	Days for Contract with country partners after PAD	Days for expected completion after contract entry into effect	Days for expected completion after GEF approval	Current status
168	70	22	753	845	Phase 2

### 3.5.4 Sustainability

#### 187. Costa Rica: Satisfactory

*Rating from the questionnaire survey: Moderately Satisfactory*

Based on the questionnaire answer, there is the understanding that to ensure sustainability is necessary a good coordination between institutions and private industry is required to support policies from the NIP.

*Rating based on interviews and documentary evidence: Satisfactory*

Two projects have originated from the first NIP and are currently under implementation (see Appendix 1). Specific reference is made to synergies in the first NIP between those programs tending to comply with other MEAS (Rotterdam, Basel, Montreal, Climate change, Marpol, among others). This was confirmed during the interviews and exchanges of information revealing a very good level of synergies among the FP of the chemical conventions who were involved in the original NIP and its review and update. SAICM is regarded as a very important mechanism but with low impact at national level. Legal and Institutional Framework for POPs management have been developed with an indication of the legislation to be revised.

#### 188. Honduras: Satisfactory

*Rating from the questionnaire survey: Satisfactory*

Most of the respondent declared that the priority and strategies identified in the updated NIP will be properly supported by financial and regulatory mechanisms.

*Rating based on interviews and documentary evidence: Satisfactory*

Two projects have originated from the first NIP and are currently under implementation (see Appendix 2). There is a clear evidence of synergies among the chemical conventions as Basel, Stockholm and Rotterdam are under the same FP. Synergy with SAICM is also secured by means of this integration which, in accordance with information gather during the interview, has been very useful in strengthening the capacity among the different actors, partners and decision makers.

#### 189. Jordan: Moderately Satisfactory

*Rating from the questionnaire survey: Moderately Satisfactory.*

Based on the answers provided, capacities developed and information gathered have been engaged in the NIP review and update projects.

*Rating based on interviews and documentary evidence: Moderately satisfactory.*

Three projects have originated from the first NIP of which two are currently under implementation (see Appendix 3). Jordan has clear the strategic value of SAICM and the integration among different conventions on chemicals.

#### 190. Macedonia: Satisfactory

*Rating from the questionnaire survey: Satisfactory.*

Reportedly, capacities developed and information gathered have been engaged in the NIP review and update projects. The synergy among convention is enhanced by the fact that a POPs unit has been established and sustained since the development of the original NIP.

*Rating based on interviews and documentary evidence: Highly Satisfactory*

Three projects have originated from the first NIP of which two have been completed (see Appendix 4). In the updated NIP document under Chapter 15 (Action plans), this aspect has been addressed (Strengthening capacities of all stakeholders on the implementation of legal measures for managing with POPs chemicals). Macedonia is in the stage of acceding the European Union therefore the integration of the European Regulation on POPs is a mandatory activity. The POPs unit is a permanent unit in force since the first NIP.

#### **191. Mongolia. Moderately Satisfactory**

*Rating from the questionnaire survey: Satisfactory.* Based on the answers, synergies considered in addressing the issues of obsolete pesticides and new POPs in products/articles and in waste electronic and electrical equipment, as well as on PCB management.

*Rating based on interviews and documentary evidence: Moderately Satisfactory.*

Two projects have originated from the first NIP of which one has been completed and the other is under implementation (see Appendix 5).

#### **192. Mozambique**

*Rating based on interviews and documentary evidence: Satisfactory*

Four projects have originated from the first NIP of which two are currently under implementation and the other two are expected to start (see Appendix 6). The information collected during the field visits, including the attendance of the inception workshop, revealed a high level of synergies among the chemical conventions- all the FP attended the workshop and are members of the NSC. SAICM is understood to be a very relevant approach mainly for pesticides.

#### **193. Philippine: Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

The structure for managing the POPs issue is consolidated and well integrated with experts from academy and universities. Implementation of SC requirement is coordinated with several governmental departments including customs.

*Rating based on interviews and documentary evidence: Satisfactory.*

Four projects have originated from the first NIP of which three are currently under implementation (see Appendix 7). The action plans drafted under the NIP covers all the POPs and extend to POPs contaminated sites. The new action plans (especially for PCBs) are based on the review of issues found in the implementation of original action plans and suggested solutions. A simple time frame for the activities is provided for each action plan, and the financial plan follows the time frame.

#### **194. Swaziland: Satisfactory**

*Rating from the questionnaire survey: Satisfactory*

All the respondents agreed on the fact that Swaziland has an integrated strategy built on the experience of SAICM and the original NIP. The majority of the respondent also declared that the priority and strategies identified in the updated NIP will be properly supported by financial and regulatory mechanisms.

*Rating based on interviews and documentary evidence: Highly Satisfactory*

Six projects have originated from the first NIP of which five are currently under implementation (see Appendix 8). There is a clear evidence of synergies among the chemical conventions as all the FP are members of the NCS. A lot is reported to have been done through SAICM, namely on the institutional framework, which is quoted as the best example of synergies.

**195. Tanzania: Satisfactory**

*Rating from the questionnaire survey: N/A* (only one respondent which provided an incomplete questionnaire).

*Rating based on interviews and documentary evidence: Satisfactory*

Seven projects have originated from the first NIP and of which two are currently under implementation (see Appendix 9). A high level of synergies has been reported - most of the members of the Working Groups deal with the other Conventions which are all under the same Division of Environment at the Vice President Office- example: for the first inventory of pesticides stockpiled have used the Basel procedures. SAICM is regarded as a very supportive mechanism for the development of post-NIP projects.

**196. Zambia: Satisfactory**

*Rating from the questionnaire survey: Moderately Satisfactory*

Answers reported that capacities developed and information gathered have been engaged in the NIP review and update projects. In addition, synergy among MEAs has been incorporated by Zambia by appointing ZEMA as coordinating agency and incorporating the focal point persons in the project steering committee. Consideration on priorities made available under separate inventory reports.

*Rating based on interviews and documentary evidence: Satisfactory*

Four projects have originated from the first NIP of which two are currently under implementation (see Appendix 10). Clear evidence of synergies derived from the fact that the FP for the Basel, Rotterdam and SC are members of the NSC. SAICM is regarded as a process that promotes multi stakeholder and multi sectoral approach to the sound management of chemicals and waste which has helped to strengthen the coordination mechanism used to review and update the NIP.

### **3.5.5 Project coordination and management**

197. Detailed information on project coordination and management is provided under sub-section section 3.3.5.

198. The table below replicates the information already provided in section 2.3 above limited to the cluster countries. A specific rating for project coordination and management has not been provided, as this is already included under the efficiency section, where coordination aspects have also been addressed. Information on project coordination and management is also provided in section 2.6.

Table 12: Project costs and execution arrangements

Country	GEF Grant (USD)	Co-finance (USD)	Execution arrangements
Costa Rica	194,260	260,000	Funds remain with UNIDO - execution by Ministry of Environment, Energy and Telecommunications
Honduras	189,420	260,000	Funds remain with UNIDO - execution Ministry of Natural Resources, Environment and Mines
Jordan	159,700	180,000	Sub-contract to Ministry of Environment
Laos	180,000	260,000	Subcontract to Lao National Mekong Secretariat, Ministry of Natural Resources and the Environment
Macedonia	155,000	423,000	Sub-contract to Ministry of Environment and Physical Planning
Mongolia	164,696	423,000	Subcontract to Ministry of Environment and Green Development
Mozambique	180,000	200,000	Sub-contract to Ministry of Coordination of Environmental Affairs
Philippines	225,000	225,000	Subcontract to Environment Management Bureau (comp.1+4) and to De La Salle University (comp. 2+3)
Swaziland	198,000	235,000	Sub-contract to Swaziland Environment Agency
Tanzania	210,000	210,000	Sub-contract to Division of Environment Vice President Office
Zambia	170,000	235,000	Sub-contract to Zambia Environmental Management Agency

### 3.5.6 Cross-cutting issues: Socio-Economic aspects

#### 199. Costa Rica: Satisfactory

*Rating based on interviews and documentary evidence: Satisfactory.*

A detailed socio-economic assessment for industrial POPs (basically PBDEs) has been carried out. The assessment mainly identifies and assesses the sanitary impact of the substances, and performs a cost / benefit analysis in term of monetary benefit that can be achieved for each dollar paid for PBDE elimination. A transversal approach has been followed of having the socio-economic issues partially reflected in the work undertaken by the various national consultants.

#### 200. Honduras: Highly Satisfactory

*Rating based on interviews and documentary evidence: Highly Satisfactory*

A specific socio-economic study has been developed. The study assesses the main socio-economic impacts related with the management of POPs, identifies key stakeholders, key interests of each stakeholder, positive and negative impacts of POPs management. It also provides hints on the available technologies for the management of POPs.

**201. Jordan: N/A**

*Rating based on interviews and documentary evidence:* The project did not reach the NIP drafting stage where socio-economic assessment is usually developed. Socio-economic aspects were not anticipated in the inception workshop.

**202. Macedonia: Satisfactory**

*Rating based on interviews and documentary evidence:* Satisfactory. A qualitative socio-economic analysis has been carried out for PCDD/F and PBDEs and PFOs. The main socio-economic impact of these POPs and of the countermeasures envisaged to reduce these POPs sources is described.

**203. Mongolia: Moderately satisfactory**

*Rating based on interviews and documentary evidence:* N/A.

The agenda of the endorsement workshop included a section on socio-economic assessment, which therefore was supposedly developed. However the socio-economic assessment report was not made available to the Evaluation team.

**204. Mozambique**

*Rating based on interviews and documentary evidence:* The project did not reach the NIP drafting stage when socio-economic assessment is usually developed but in accordance with the information collected during the field visits a consultant will be hired to deal with this.

**205. Philippine: Satisfactory**

*Rating based on interviews and documentary evidence:* Satisfactory. A specific section on socio-economic issues is included in the document. This section partially identifies the socio-economic impact that may be found in phasing out POPs, including for instance 1) PCBs: impact of the cost of treatment/phasing out of PCB-contaminated equipment for the electric industry; 2) cost/benefit for the industry and the population for the implementation of BAT/BEP in specific industrial sectors; 3) impact on E-waste management on the provisions related to PBDE and PFOs, etc. Based on the interviews, the socio-economic assessment was a transversal activity which integrated all the inventory activities. A socio-economic assessment expert was specifically dedicated to this task.

**206. Swaziland: Moderately Satisfactory**

*Rating based on interviews and documentary evidence:* The project did not reach the NIP drafting stage where socio-economic assessment is usually developed. Socio-economic aspects were however anticipated in the inception workshop during the training session.

**207. Tanzania: N/A**

*Rating based on interviews and documentary evidence:* The project did not reach the NIP drafting stage when socio-economic assessment is usually developed. Socio-economic aspects were not anticipated in the inception workshop or included in other documents provided.

**208. Zambia: Moderately Satisfactory**

*Rating based on interviews and documentary evidence:* The project did not reach the NIP drafting stage where socio-economic assessment is usually developed. Socio-economic aspects were however anticipated in the inception workshop during the training session.

## 4. Conclusions, recommendations and lessons learned

---

### 4.1 Conclusions

209. The overall objective of these GEF funded EA projects is to support the beneficiary countries in their sustainable development programming through the review and update of the Stockholm Convention NIPs and have them endorsed and submitted, by the Government Counterparts, to the Conference of the Parties. The projects have identified the relevant GEF5 focal areas objectives and have been designed in line with UNIDO thematic priorities.
210. The NIP review and update projects have, in general, been relevant to assist countries in identifying their environmental priorities associated with chemicals and raising the profile of POPs in the beneficiary countries. These activities can be considered as a good driver in promoting some sustainable changes at national level, like the increase of capacity in existing institutional structures and the establishment of coordination mechanisms for chemicals management based on a multi stakeholders approach (see sub-section 2.6.1 and 3.3.1).
211. The level of stakeholders' involvement and awareness raising generated by the NIPs has been considered one of the main achievements of the project - in the majority of the countries stakeholders have included Government representatives, academia, industry and NGOs (see sections 2.6.2 and 3.3.2).
212. The involvement of the target beneficiaries is evident from the proceedings of workshops and minutes of meetings. In some cases NGOs, consumers, women organisations and media were invited and UNIDO has supported, on countries request, media awareness campaigns.
213. As described under sub-section 2.3, the GEF grant contribution under the EA mechanism has been between a minimum of 136,000 US\$ and a maximum of 258,000 US\$. Exceptions concern the in Maldives and Myanmar (see paragraph 57 above).
214. As an organization UNIDO operates largely through subcontracts, providing an additional layer of management. Direct execution by UNIDO has been requested by the countries due to different national contexts (Costa Rica, Honduras, Tunisia and Mongolia) and is overall more adapted to the countries needs and contexts (see section 3.5.3). However direct implementation by UNIDO HQ would require doubling the number of project managers with a considerable increase in the execution costs. Moreover GEF is promoting country driven projects.
215. As such in the majority of the countries the project has been designed based on a model intervention following the same template developed by the SCU. This has, in some cases, resulted in lack of flexibility to adjust to the countries needs and contexts.
216. The overall time required for starting the project (from CEO approval to entry into effect of the execution arrangements) is very long - on average 9 months. This affects not only the NIP review and update activity, but also post-NIP projects (see section 2.4).
217. The projects have not yet started in 8 countries and the overall status of implementation is delayed. The majority of the countries (23) are in phase 2 of implementation - the inventories have been drafted but, in some cases, not yet validated. From the 8 countries in phase 1 some are still in the process of launching the project and others are yet to submit the Report of the Inception Workshop. 7 countries are in phase 4 of

implementation of which 2 have started and 5 have completed the NIP and are only waiting for their official submission to the CoP of the SC.

218. Due to unrealistic planning the project implementation is delayed in all the cluster countries with the exception of Mongolia and Macedonia, which have concluded implementation nearly within the timeframe (see sub-section 3.3.3) and Costa Rica and Honduras (see sub-section 3.3.5).
219. The 4 countries that have concluded their NIPs had on average a delay of 6 months. Of the 25 countries to which the initial implementation deadline (i.e 12 months from the entry into effect of the execution arrangements) has expired 3 are still in phase 1, 16 are in phase 2, 4 are in phase 3 and 2 have started phase 4. The remaining 11 countries are all delayed regarding the deadlines of their respective phases. The reasons for this are assessed in sub-section 2.6.3.
220. The triangulation of the information from the different evaluation sources demonstrates that more time is required to conduct all the project's components. The timeframe is even less realistic considering the fact that it includes the submission of the NIP to the Conference of the Parties of the Stockholm Convention meaning that after the project cycle there is a gap to be filled by the Governments which may take quite long and is not within UNIDO control. Also when the implementing agency is not represented at national level more time is required for articulation, procurement and contracting.
221. UNIDO is perceived as a technically competent and reliable partner for NIP implementation, based on its strategic position (elaboration of guidelines and capacity building projects), its level of expertise and capacity to mobilize resources and present integrated solutions as well as its representation at country/regional level.
222. The roles and responsibilities of the different partners in the implementation of the projects at the national level are clear from the sub-contracts and ToR but these are not always followed due to different contextual reasons and improvements have been suggested under sub-section 3.3.5.
223. The overall level of articulation between UNIDO HQ/PMs and the PCU is good and fluid but improvements could be made namely on: (i) communication from the Government counterparts to PMs on all the technical outputs of the project; (ii) quality control of the project outputs by the PMs (presently deliverables are accepted by Procurement without a quality control from PMs who don't keep a record of the deliverables); (iii) elaboration of progress reports which are mandatory in accordance with the project documents but were only found in a few cases.
224. The level of information management is very poor - information on project documents and outputs is scattered among UNIDO HQ (PMs and Procurement) and each PM follows a different organizational structure. This has been a major limitation of the present evaluation.
225. As summarised in the table below, the overall level of project understanding is considered satisfactory by the respondents to the questionnaire. As for the relevance, the perception of the respondents is moderately satisfactory for cluster countries and satisfactory for non-cluster countries. All the respondents rated effectiveness in achieving project outcomes as moderately satisfactory and the project efficiency as satisfactory. As for the sustainability of the actions respondents from cluster countries considered them to be satisfactory whereas those from non-cluster countries rated sustainability as moderately satisfactory.

Table 13: Average score by evaluation criteria for cluster and non-cluster countries (questionnaire survey)

Evaluation Criteria	Score for cluster countries	Score for non-cluster countries
Project understanding	S	S
Relevance for the country	MS	S
Effectiveness in achieving project outcomes	MS	MS
Efficiency	S	S
Sustainability of actions	S	MS

226. An assessment summary of the project in each cluster country is presented under section 3.5 by evaluation criteria. This assessment has demonstrated that in spite of the fact that the NIP review and update activities carried out with UNIDO assistance benefitted of a common result framework structure and of similar execution arrangements (in 7 of the 10 cluster countries), each country has implemented the activities following its own model and is, as of 30 November 2014, in a different stage of implementation.

## 4.2 Recommendations

### Recommendations to UNIDO

227. In order to initiate implementation immediately after the project approval, the contract negotiation should start during the preparation of the project documents. This additional effort would be limited compared to the investment normally undertaken for project drafting and would even ensure a greater involvement of the countries during the project drafting. It should also be noted that the eventuality of the project not being approved is very rare for EAs project and indeed no evidence of project rejection has been found among the 51 countries assessed, whilst only in a couple of cases it was necessary to resubmit the project application to the GEF.

228. To fully comply with the ToR an additional implementation period is required. Considering all the activities involved in the NIP review and update the implementation period should be the same of the original NIPs - 24 months.

229. The submission of the endorsed NIP to the Conference of the Parties of the Stockholm Convention should not be included in the timeframe for implementation as this is not within the control of the National Executing Agency and can take a considerable amount of time. For UNIDO the project is completed once the NIP review and updated is drafted and has been endorsed (National Endorsement Workshop).

230. Clause 2.05 of the sub-contracts on the report submission should be amended to require the Government Counterparts to submit the outputs of the project in electronic format to the PM who should be required to technically validate the deliverables before approval of payment by Procurement - this will not only give credibility to the process but also provide an incentive for countries to submit their outputs in accordance with the requirements of the ToRs.

231. Communication between the PMU and UNIDO HQ/PMs should be improved in line with the project's ToR: the PMU should notify UNIDO HQ on the coordination mechanisms; progress reports should be submitted by the PMU (as requested in the project documents); the PMs should keep a record of all the deliverables of the NIP review and update.

232. For those cases of direct implementation the requirement from the project document to prepare Progress Reports should be enforced and closer coordination between UNIDO HQ and PCU should be in place.
233. The overall project management process should be streamlined through common standards and a monitoring and tracking system. This should include, besides the submission of all the project outputs electronically, the development of a standardised management information and monitoring tool with the following main structure:
- Project Documents;
  - GEF approval: signed documents;
  - Procurement: Signed contract; ToR; Consultants;
  - Deliverables: Outputs of the various components;
  - Monitoring and Progress Report.
234. The Field Officers, and for countries without representation the Regional Offices, should play a more proactive role during the project approval and after the start of its implementation in accordance with UNIDO Secretariat Structure 2014. The project documents should foresee their involvement including with regard to:
- Liaise with the national authorities and identify opportunities for the country;
  - Attend the national meetings/workshops in representation of UNIDO HQ/PM;
  - Collect and share relevant information at national and regional level, provide guidance and ensure consistency of the outcomes;
  - Facilitate the overall process sensing the culture of the project implementation-promoting dialogue among the regions covered and conveying the image of the national/regional context to Vienna.
235. UNIDO guidance should be enhanced through the sharing of information among PMs, who should be managing projects in the same region, and PMUs of the different countries in the various components of the project implementation in order to identify, namely: (i) main challenges faced and how have these been overcome; (ii) success stories that could constitute examples to be followed by the other countries; (iii) common approach on project implementation in the same region.

### **Recommendations to Government / Organisation counterpart**

236. Government counterparts should streamline the procurement and contractual arrangements in order to make sure that the execution arrangements entry into effect as soon as possible after the project approval.
237. Government counterparts should ensure the integration of socio-economic and gender issues in the review and update of their NIPs in accordance with the guidance documents produced by the Secretariat of the SC and by the SCU/UNIDO.
238. Government counterparts should ensure that the representatives nominated to attend the international meetings and capacity building initiatives are those that are involved with the NIPs review and update (NPC or NPM).

### **Recommendation to GEF**

239. A more realistic and pragmatic approach to the establishment of the timeframe for the review and update of the NIPs should be adopted since practice has demonstrated that neither the Stockholm Convention deadline nor the timeframe established under the EAs project submitted to the GEF are realistic.

240. The procedures for accessing GEF funding should be made clearer at national level in order to facilitate and expedite the approval process.
241. Capacity building, using the pool of national and international experts that have been engaged in the project implementation, should be promoted, with the involvement of the FP of the chemicals conventions encouraging synergies and exchange of information among the main stakeholders involved in the NIP review and update.

### 4.3 Lessons learned

242. **Availability** of information: During the evaluation process it was evident that, although the NIP review and update activities are pretty standardized activities following a model intervention with shared methodologies and similar procedures, nevertheless the standards did not apply to the storing and availability of information. The gathering of information and relevant documents was a continuous process that longer than initially expected. This was made even more difficult by internal procurement procedures that require the contracted NEAs to submit their outcomes to UNIDO in hardcopy. The result is that a substantial amount of valuable information, which is the result of an extraordinary effort of UNIDO to coordinate the review and update of the NIPs in 51 countries, risks to be fragmented and therefore lost. The issue could be easily solved by assigning one person with the task of collecting and compiling all the deliverables produced under the NIP review and update projects using a standardised management information and monitoring tool. It should be noted that the situation also affected the evaluation as it was based on documentary evidences of different legal status (i.e. signed hardcopies, signed PDFs, drafts - either as file word or PDFs- incomplete deliverables, etc.).
243. **Time frame:** A one year timeframe was adopted for all projects, based on decisions of the Conference of the Parties to the Stockholm Convention and the consolidated practices established by the GEF. That eventually resulted in UNIDO granting multiple extension of projects deadlines and contracts timeframe. The timeframe for the project completion should instead take into account the beneficiaries technical and administrative capacities, as well as the time required for project drafting and approval.
244. **Inventories:** One of the core outputs of the NIP review and update are the inventories of POPs. To date, the approach to the inventories seems mostly oriented towards the overall quantification of the amount of each POP category existing in each country, rather than towards traceability and management of POPs. Whilst this is partially compliant with the logic of the "POP tracking tool" baseline established under GEF for the measurement of the effectiveness of projects aimed at the destruction or disposal of POPs, this approach is less effective in terms of providing countries with the proper information for managing POPs. For instance, all the PBDEs inventories are based on the indirect quantification of the overall amount of PBDEs existing in the 2 sectors of automotive and electric equipment; however the simple knowledge of the amount of PBDEs is of limited usefulness if not proper coupled with the identification of the main stockpiles and source of release, the release trends, current disposal modalities and costs, availability of disposal technological options, etc. Although it is evident that these analysis cannot be carried out with the limited resources mobilized under the EA projects, the scope of the inventories should nevertheless be expanded beyond the mere application of the UNEP inventory guidelines with the purpose of objectively identify solutions for the countries. Still on the side of PBDEs, as these substances are currently mostly related to two specific waste streams, (ELV and WEEE), PBDEs inventories and action plan could benefit of a better analysis on how these two categories of waste are managed in the relevant countries, including the quantification of import and export of these waste. Another significant example concerns PCBs: although the Stockholm Convention requires not only the quantification, but also the "identification and labelling" of certain categories of PCBs contaminated equipment, still no PCB inventory include any report on how these provision have been

implemented by the country, and no action plan related to the identification and labelling of PCB contaminated equipment has been developed. The inventory of PCDD/F is limited to the updating of the values of the parameters (consumption of raw material, amount of waste treated, production of goods) and the re-calculation with the newly proposed emission factors; greatest uncertainties still remain in the quantification of U-POPs emission from open-burning sources.

245. **Training and awareness raising:** Training and awareness raising events are common to all the NIP review and update projects and a significant amount of resources is allocated for these project components. Training events are in general well documented and, together with inventory reports, represent a significant fraction of the outputs of the NIP review and update activities. Training benefitted from an important cultural exchange, which reportedly was not limited to the transfer of knowledge from developed to developing countries, but was also the result of increasing south-south cooperation. The following improvement could however increase the training effectiveness: (i) establishment and implementation of training effectiveness evaluation (by means of pre and post-training tests); (ii) certification of successful trainees; (iii) involvement of universities or consolidated training institutions; (iii) periodic repetition of training on POPs sustained after the completion of NIP review and update projects; (v) establishment of national and international web-training portals on POPs.

## **Annex A: Terms of reference**

### **Cluster evaluation of UNIDO projects:**

**Enabling Activities to review and update  
the National Implementation Plans (NIPs) for the  
Stockholm Convention (SC) on  
persistent organic pollutants (POPs)**

23 september 2014

## Contents:

I.	Introduction and Project Background.....	3
II.	Rationale and purpose of the evaluation .....	9
III.	Scope and focus of the evaluation.....	10
IV.	Key Evaluation Questions .....	10
V.	Evaluation approach and methodology.....	15
VI.	Evaluation team composition.....	18
VII.	Time schedule and deliverables/outputs.....	18
VIII.	Quality Assurance .....	19

## I. Introduction and project background

### 1. UNIDO's POPs portfolio

In mid-2001 UNIDO started its first Persistent Organic Pollutants (POPs) project and has since then implemented/on-going/PIF approved around 157 projects, almost all of which were funded by the Global Environment Facility (GEF) directly or indirectly. At UNIDO, the POPs portfolio is managed by the Stockholm Convention Unit (SCU) of the Environmental Management Branch.

POPs projects in UNIDO can be divided into two large categories: a) National Implementation Plans (NIPs) as foreseen in the Stockholm Convention (SC) as a first step towards POPs reduction and phase out, and b) Stockholm Convention Implementation Projects, which are assisting countries in implementing the NIPs in the different POPs areas. In May 2014, 157 out of 179 parties to the SC have submitted their first NIPs to the SC Secretariat and for 22 countries the transmission of their first NIP is still pending. Regarding the second NIP, 17 out of the 162 parties (which have so far ratified the amendments) have submitted the reviewed and updated to the Stockholm Convention Secretariat.

In 2001, UNIDO started the enabling activities acting as an Implementing Agency for the GEF for the first round of the NIPs projects: "Enabling Activities to Facilitate Early Action on the Implementation of the Stockholm Convention on Persistent Organic Pollutants (POPs)", which will be designated as first NIP in these Terms of Reference (ToR). The second round of NIPs: "*Enabling Activities to review and update the National Implementation Plans for the Stockholm Convention on Persistent Organic Pollutants (POPs)*" started their implementation in 2012, and in this ToR the terminology for them will be the second NIP.

Until 2014, UNIDO has supported 43 countries to prepare their first NIPs, which are frameworks to develop and implement, in a systematic and participatory way, priority policy and regulatory reform, capacity building, and investment programmes to reduce and/or phase-out POPs.<sup>31</sup> The first NIP projects are funded under the GEF mechanism of Enabling Activities (EA) and have an average size of up to USD 500,000 each one, except those in China and India where the Governments opted for the GEF full-size projects with the funding of USD 4 million and USD 3.2 million respectively.<sup>32</sup>

Stockholm Convention Implementation Projects are in line with the GEF Strategic Programmes of GEF 4 and GEF 5 under the POPs Focal Area:

- 1) strengthening capacities for NIP implementation;
- 2) partnering in investments for NIP implementation, and
- 3) partnering in the demonstrations of feasible, innovative technologies and best practices for POPs reduction.

So far, UNIDO has supported 52 single countries to prepare their second NIPs, which are frameworks to develop and implement, in a systematic and participatory way, priority policy and regulatory reform, capacity building, and investment programmes to reduce and/or phase-out the newly added ten POPs to the SC. The second NIP projects are as well funded under the GEF mechanism of Enabling Activities (EA) and have an average size of up to USD225,000 (excluding

---

<sup>31</sup> Maldives and Bosnia and Herzegovina have only a first NIP containing all the POPs listed in the Stockholm Convention (SC) done with the second round of NIP, due to the fact that these two countries did not participate in the first round of NIP project, they have received a greater funding for the only NIP to contain all the POPs.

<sup>32</sup> Both first and second NIP projects were all funded by GEF.

support costs) each one, except those in China where the Governments opted for the GEF medium-size project of USD2 million.

**Table 1. UNIDO's POPs projects**

Type of projects	No. of projects	Total allotment (USD)	% of POPs portfolio (July 2014)	Average size (USD)
1) Preparatory	22	5,865,356		
2) First NIP	43	25,943,212		
3) Project Identification Form (PIF) approved or ongoing Medium-Size Project (MSP) and Full-Size Project (FSP)	32	94,600,000 (without PPG)	61 %	-
4) NIP review and update	52	12,254,714	8%	210,000 (EAs); 2,000,000 (China NIP update)
5) PIF approved or ongoing global and regional POPs projects (without Project Preparation Grant (PPG))	8	48,000,000	31%	-
<b>Total of 3-6</b>	<b>92</b>	<b>154,854,714</b>	<b>100%</b>	

There are also eight global and regional projects with main focus on:

- i) demonstrating the viability and removal of barriers impeding adoption and implementation of available non-combustion technologies for destroying POPs; and
- ii) promoting strategies to reduce unintentional production of POPs or identifying contaminated sites.

The current project GEF-5 portfolio from 2014 of the SC Unit comprises 36 approved projects and totals around USD 143 million.

## **2. Review and update of the National Implementation Plans for the Stockholm Convention on Persistent Organic Pollutants (POPs) – Second NIP**

The Stockholm Convention on Persistent Organic Pollutants (POPs) was adopted in May 2001 with the objective of protecting human health and the environment from toxic and hazardous POPs. It entered into force on 17 May 2004 initially listing twelve chemicals as POPs. At its 4th meeting of the Conference of Parties (COP) in May 2009, the Stockholm Convention was amended to include nine new POPs (listed in SC annexes A, B and C)<sup>33</sup>. The amendments entered into force for most of the Stockholm Convention Parties on 26 August 2010.

According to Article 7 of the Convention, Parties are required to develop a National Implementation Plan (NIP) to demonstrate how the country will implement the obligations under the Stockholm

<sup>33</sup> Alpha hexachlorocyclohexane, Beta hexachlorocyclohexane, Chloredecone, Hexabromobiphenyl, Hexabromodiphenyl ether and heptabromodiphenyl ether, Lindane, Pentachlorobenzene, Tetrabromodiphenyl ether and pentabromodiphenyl ether, Perfluorooctane sulfonic acid (PFOS, its salts and perfluorooctane sulfonyl fluoride)

Convention. The Party should transmit the NIP to the COP within two years of the date on which the Convention entered into force for the country. In compliance to the above all the Counterpart Governments ratified the Stockholm Convention, and prepared the NIPs under the diverse responsible Ministries for the NIP update and review with UNIDO's support and endorsed the NIPs.

Furthermore, Parties are required to review and update their NIPs in a manner specified by a decision of the COP. At the fourth meeting of the COP held from 4 to 8 May 2009, the COP considered and decided on the listing of nine new POPs to Annexes A, B and C of the convention, as per recommendation of the POPs Review Committee (POPRC). Thus, according to the initial planning, most Parties to the Convention will have to review, update and submit their NIPs within two years of the date of entry into force of the amendments to the COP (August 2012). The Stockholm Convention was amended in April 2011 at the 5th meeting of the COP to include Endosulfan in SC's Annex A, with specific exemptions.

The second NIP projects are expected to enable the Government Counterparts to establish inventories of products and articles containing the ten newly listed POPs and identify industrial processes where new POPs are employed or unintentionally produced.

The Government Counterparts already have experience in conducting inventories and drafting action plans for elimination of pesticides, PCBs, DDT, and unintentionally produced POPs, thus the new POPs pesticides may to a large extent be managed similar to original POPs pesticides. However, new approaches are required to manage the industrial POPs chemicals such as brominated diphenyl ethers (BDE), PFOS, and others, due to their global use in industrial processes, products (especially electronic appliances) and recycling streams. For such chemicals, new inventory analyses such as supply chain, material flow and stakeholder analyses would be required to cope with the challenges of new POPs chemical risks posed by consumer products in use and in the market. Based on the inventory results, the identification and prioritization of new POPs will lead to new action plans and national policy proposals needed for implementing the updated second NIPs.

The second NIP update projects also built, whenever possible, on the capacity created/enhanced and the information dissemination/awareness raising mechanism that have already been put in place in the relevant country, where the second NIP update and review took place through various POPs projects.

For the first NIP, five phases were entailed for project implementation:

1. Coordination mechanism and inception phase,
2. Inventory phase,
3. Prioritization phase,
4. Drafting of the action plans and formulation of the NIP, and
5. Endorsement phase.

For the second NIP, four phases were entailed for project implementation:

1. Coordination mechanism, inception and awareness raising phase
2. Inventory review and update phase
3. Assessment of national capacities and prioritization phase
4. NIP formulation, endorsement and submission phase

For conducting new POPs inventories, the Stockholm Convention Secretariat "Step-by-step companion guide to the review and updating of the National Implementation Plans", the inventory guidance developed under the GEF/UNIDO project *"Development of the Guidelines for updating of*

National Implementation Plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention”, including the “Guidance for Developing a National Implementation for the Stockholm Convention on Persistent Organic Pollutants-updated in 2012)” as well as the GEF NIP update guidance “Guidelines for reviewing and updating the NIP under the Stockholm Convention on POPs” will be used as reference.

Table 2: Second NIP projects being implemented by UNIDO from 2012 to date

Country	Started in	Allotment (USD)	Expenditure (USD) (July 2014)	Potential status (November 2014)
<b>Bolivia</b>	30-May-13	205,000.00	154,000.00	Phase 1
<b>CAR</b>	9-May-13	190,000.00	144,000.00	Phase 1
<b>Ecuador</b>	18-Feb-13	205,000.00	0	Phase 1
<b>Eritrea</b>	14/04/2014	170,000.00	0	Phase 1
<b>Guatemala</b>	21-Feb-14	225,000.00	0	Phase 1
<b>Guinea-Bissau</b>	20-Nov-13	175,000.00	128,000.00	Phase 1
<b>Lesotho</b>	15-May-13	150,000.00	112,000.00	Phase 1
<b>Mexico</b>	22-Apr-13	225,000.00	0	Phase 1
<b>Nepal</b>	14-Mar-13	180,000.00	129,101.52	Phase 1
<b>Nicaragua</b>	13-Nov-13	185,000.00	135,000.00	Phase 1
<b>Peru</b>	12-Sep-13	225,000.00	0	Phase 1
<b>Sao Tome and Principe</b>	18-Feb-13	170,000.00	119,000.00	Phase 1
<b>Sri Lanka</b>	4-Jun-13	225,000.00	182,433.40	Phase 1
<b>Cape Verde</b>	20-Nov-13	170,000.00	129,000.00	Phase 1
<b>Mali</b>	01-March-14	225,000.00	181,000.00	Phase 1
<b>Mozambique</b>	21-Aug-13	180,000.00	128,646.00	Phase 1
<b>Algeria</b>	31-Aug-12	181,592.00	163,857.82	Phase 2
<b>Burkina Faso</b>	18-Feb-13	169,340.00	135,092.69	Phase 2
<b>China<sup>34</sup></b>	17/12/2013	2,000,000.00	1,756,010.99	Phase 2
<b>Costa Rica</b>	8-Mar-13	194,260.00	96,293.17	Phase 2
<b>Cote d'Ivoire</b>	2-Sep-13	200,000.00	152,000.00	Phase 2
<b>DRC</b>	5-Mar-13	199,870.00	189,303.81	Phase 2
<b>Guinea</b>	21-Mar-13	180,000.00	114,307.99	Phase 2
<b>Honduras</b>	18-Feb-13	189,420.00	147,191.97	Phase 2
<b>Jordan</b>	4-Mar-13	159,700.00	136,088.47	Phase 2
<b>Laos PDR</b>	22-Apr-13	180,000.00	133,890.80	Phase 2
<b>Liberia</b>	16-May-13	160,000.00	145,356.55	Phase 2
<b>Maldives</b>	5-Mar-13	430,000.00	248,374.00	Phase 2
<b>Myanmar</b>	11-Apr-13	500,000.00	263,948.22	Phase 2
<b>Niger</b>	28-Jan-14	190,000.00	145,000.00	Phase 2

<sup>34</sup> China will not be part of this Cluster Evaluation, as the Enabling Activities are done in a form of a Medium-Size Project, for which there will be a separate independent evaluation according to GEF Evaluation Policy

Country	Started in	Allotment (USD)	Expenditure (USD) (July 2014)	Potential status (November 2014)
<b>Nigeria</b>	8-Mar-13	225,000.00	203,983.07	Phase 2
<b>Rwanda</b>	10-May-13	180,000.00	148,331.56	Phase 2
<b>Senegal</b>	6-Sep-13	170,000.00	127,470.50	Phase 2
<b>Serbia</b>	31-Aug-12	179,476.00	51,620.37	Phase 2
<b>Seychelles</b>	22-Apr-13	140,000.00	119,257.41	Phase 2
<b>Tanzania</b>	17-Dec-12	210,000.00	187,692.50	Phase 2
<b>Togo</b>	1-Oct-12	179,290.00	135,568.73	Phase 2
<b>Tunisia</b>	10-May-13	220,000.00	13,280.44	Phase 2
<b>Uganda</b>	23-Jan-14	185,000.00	142,000.00	Phase 2
<b>Zambia</b>	16-May-13	170,000.00	163,738.56	Phase 2
<b>Ethiopia</b>	8-Mar-13	227,000.00	173,797.58	Phase 2
<b>Armenia</b>	28-Sep-12	129,200.00	122,602.02	Phase 3
<b>Republic of Congo</b>	2-Sep-13	170,000.00	130,168.40	Phase 3
<b>Swaziland</b>	8-Mar-13	198,000	182,974.11	Phase 3
<b>Tajikistan</b>	14-Mar-13	181,850.00	165,137.67	Phase 3
<b>Bosnia Herzegovina</b>	16-Aug-12	258,020.00	229,004.00	Phase 4
<b>Indonesia</b>	18-Oct-12	225,000.00	192,171.30	Phase 4
<b>Mongolia</b>	3-Oct-12	164,696.02	121,704.96	Phase 4
<b>Sudan</b>	9-Oct-12	198,000	165,232	Phase 4
<b>Philippines</b>	20-Jul-12	225,000	214,326.53	Phase 4 completed
<b>Turkey</b>	19-Jul-12	225,000	218,707.98	Phase 4 completed
<b>Macedonia</b>	23-May-12	155,000	150,422.03	Phase 4 completed

#### 4. Second NIP project objectives

##### Enabling Activity (EA) Objective

The overall objective of the proposed Enabling Activities (EA) is to review and update the National Implementation Plan (NIP), and have it endorsed and submitted by the Government to the Conference of Parties of the Stockholm Convention (COP). Participating stakeholders will be able to manage the additional POPs with newly developed technical skills, expertise and awareness.

##### Enabling Activity goals, objectives and activities

The overall goal of the Enabling Activities (EA) project is to fulfill the country's obligation under Article 7 of the Stockholm Convention, which is to review and update the NIP and submit it to the COP within two years the amendments enter into force.

The tasks of the proposed EA will fill the gaps required to review and update the NIP. This will include strengthening the national coordination mechanism by involving additional stakeholders on new POPs, establishing working groups with expertise on new POPs issues, updating and

reviewing the inventories of the original twelve POPs, conducting a basic inventory of new POPs, assessing the regulatory and policy framework and institutional capacities to manage new POPs, prioritizing and drafting relevant objectives and action plans for reducing and phasing out new POPs. Relevant stakeholders will be consulted and involved throughout the project implementation process. The updated, endorsed and submitted NIP will provide a basis to implement Stockholm Convention Implementation Projects in accordance with the requirements of the Stockholm Convention.

The EA project will focus on the attainment of the following outcomes:

- Reviewed and updated National Implementation Plan (NIP) endorsed and submitted by the Government to the Conference of Parties (COP) to the Stockholm Convention (SC); and
- Participating stakeholders able to manage the additional POPs with newly developed technical skills, expertise and awareness.

Enabling Activity Project Components are:

1. Coordination mechanism and awareness raising,
2. Inventories of new POPs and NIP Review,
3. National capacities assessment and priority setting for management of new POPs, and
4. NIP formulation, endorsement and submission.

Enabling Activity Project Outcomes are:

1. Coordination mechanism in place with stakeholders aware of the risk of new POPs,
2. Validation of inventories of new POPs (and updating of initial 12 POPs) by relevant stakeholders,
3. Identification of national capacities for new POPs management and priority setting of new POPs risk reduction options,
4. Government endorsement and submission of updated NIP to Conference of Parties to the SC, and
5. Periodic Monitoring and terminal evaluation of project implementation.

5. Project implementation arrangements

UNIDO has acted as the GEF implementing agency for these second NIP projects. The second NIP update and reviews have built on existing national coordination mechanism and capacities established during the development of the first NIP.

UNIDO did mainly engage the Ministries of Environment of each Government Counterpart to review and update the second NIP as a national executing organization to provide services and perform the work in the form of a subcontract where detailed Terms of References (ToR) was prepared after project approval. Subcontracts were signed by an authorized official from the Ministry and UNIDO. In the case that the Ministries of Environment decided that project activities should be carried out by another national organization (e.g. University, Cleaner Production Centre, Private Company etc.) an official endorsement letter needed to be signed by the Ministry of Environment and submitted to UNIDO for approval. A subcontract was then issued between UNIDO and the endorsed organization. UNIDO performed project implementation oversight through an assigned project manager (PM). The Ministry of Environment had to nominate a high-level official as a National Project Director (NPD) to chair the National Steering Committee (NSC),

and appointed a National Project Manager (NPM) and Assistant Project Manager (APM)/Project Technical Specialist (PTS) to facilitate the coordination of the project. The NPD had to ensure political support for the project, ensure institutional coordination, supervise the project national coordination and provided support to the Technical and Steering Committees for strategic project issues. The fees for the NPD were covered by the Ministries of Environment.

## I. Rationale and purpose of the evaluation

Given the number of second NIP projects and their different stages of implementation, it will not be feasible to assess all projects individually with the same level of details. For this reason, a cluster evaluation approach will be used. The cluster will be composed of ten projects selected from Table 2, considering regional representation and different stages of implementation. These selected projects will be reviewed to a deeper extent as established in this ToR.

One of the main purposes of this Cluster evaluation is to examine to which extent the Reviewing and Updating the NIP under the Stockholm Convention on POPs by the Government Counterparts has been followed and implemented, i.e. if the second NIPs updates and reviews in the countries included in the cluster have been leaned to the requirements of the *“Guidelines for Reviewing and Updating the NIP under the Stockholm Convention on POPs”*.

The Cluster evaluation will review the extent to which, each party of the cluster group (Government Counterpart) has done the following:

- (a) Developed and endeavor to implement a plan for the implementation of its obligations under the Stockholm 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 plans on a periodic basis and in a manner to be specific by a decision of the Conference of the Parties.
- (d) Lessons implemented from the process of the first NIP.

## II. Scope and focus of the evaluation

The cluster of ten projects will be decided upon in the Inception Report, after the desk review and the preliminary research were done, and the choice will be based on the following criteria: 1. Regional presence (2-3 countries chosen for the five regions: Latin American and Caribbean Countries (LAC), Africa, Asia, Europe and Arab Countries), 2. Stage of Implementation (for instance one country should be in the middle phase of implementation and one should be at the end stage – the second NIP is either finalized or at drafting stage), 3. Level of complexity of the second NIP, and the issues treated in the NIPs,<sup>35</sup> and 4. Size of the Project of the NIP review and update

Furthermore this evaluation is expected to contribute to organizational learning, by UNIDO and its Counterparts, and will be forward looking, thus also guiding the development of new similar projects. This cluster evaluation will also be used as a platform for South-South Cooperation.

---

<sup>35</sup> See Annex 7 (p. 55) of the Guidelines: „*Guidance for Developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants*“ (updated in 2012 to include the POPs listed in 2009 and 2011)

The evaluation is linked to other evaluations performed in 2012 – the Independent Thematic Evaluation: “UNIDO’s work in the area of Persistent Organic Pollutants (POPs)”, and in 2013 – Independent Terminal Evaluation: “Development of the Guidelines for updating of National Implementation Plans (NIPs) under the Stockholm Convention taking into account the new POPs added to the Convention”.

### III. Key evaluation questions

The key questions are to what extent:

1. Have the second NIP update projects performed effectively and efficiently, and have achieved or will achieve the expected results in providing the inventory of new POPs and identifying priorities and action plans related to reduction/disposal of the ten new POPs; and
2. What lessons and recommendations can be extracted from the different experiences in the different contexts where the projects in the cluster were/are being implemented.

The evaluation team will rate the ten projects that are part of the cluster. The **ratings for the parameters described in the following sub-chapters A to H will be presented in the form of a table** with each of the categories rated separately and with **brief justifications for the rating** based on the findings of the main analysis for each of the countries within the cluster. The rating system to be applied is specified in Annex 5.

To guide the reflection process, the evaluation team will use OECD/DAC evaluation criteria and be guided by the following evaluation questions:

#### A. Relevance

- To what extent project is relevant to the:
  - ✓ National development and environmental priorities and strategies of the Government and population of each country from the cluster, and regional and international agreements.
  - ✓ Target groups: relevance of the project’s objectives, outcomes and outputs to the different target groups of the interventions (e.g., companies, civil society, beneficiaries of capacity building and training).
  - ✓ UNIDO’s thematic priorities: Were they in line with UNIDO’s mandate, objectives and outcomes defined in the Programme and Budget and core competencies?
- Do the projects remain relevant taking into account the changing environment?
- To what extent the approach (es) being used are still relevant? Is there a need to reformulate the project and the project results framework given changes in the country and operational context?
- How relevant/aligned have these projects been to the environmental strategies of the supported countries and the GEF and to the thematic priorities of UNIDO?

#### B. Effectiveness

The evaluation will assess to what extent results at various levels, including outcomes, have been achieved. The following issues will be assessed:

- To what extent have the expected outputs and outcomes been achieved or are likely to be achieved?
- How do the stakeholders perceive the quality of outputs? Were the targeted beneficiary groups (e.g., country, government, ministries, POPs producers, people living in the areas by POPs polluted) actually reached?

- What outputs and outcomes has the project achieved so far (both qualitative and quantitative results)? Has the project generated any results that could lead to changes of the assisted institutions? Have there been any unplanned effects?
- To what extent do UNIDO POPs projects contribute to other UNIDO objectives, such as improved environmental performance of industry, competitiveness of industry, pro-poor growth?
- To what extent have the desired benefits of UNIDO's POPs projects been sustained after project completion for the first round of NIPs? In the context of the initial NIP?
- What are the key project-internal factors (e.g. implementation approach, internal competencies, type and quality of expertise used, etc.) that determine the performance of the projects, results and sustainability?
- What are the key project-external factors (e.g. existing environmental legislation, budgetary provisions in the country, degree and form of private sector involvement (forward coming of providing data, actions), etc) that determine the performance of the projects, results and sustainability?
- Were the follow-up projects that derived from the initial NIP according to the Action Plans defined in the initial NIP?
- Have follow-up projects already been developed as a result of the initial first NIP projects? How many and what kind of projects exactly did come out as a result of the initial first NIP? How were they financed? Were all of these projects implemented by now? In which stage are they at the moment? Why were some projects implemented for some countries, and for others not? Please state the reasons behind with a sound explanation.
- Are appropriate legislative and regulatory frameworks in place for the initial first NIPs? How did the initial NIP and the NIP update and review projects contribute to an appropriate legislative and regulatory framework in place for the management of POPs (and other chemicals) in the country?
- Has enforcement capacity been strengthened and sustainable after the implementation in the first NIP?

### **C. Efficiency**

To what extent:

- Were the projects costs effective? Were the projects using the least cost options?
- Have the projects produced the expected results (outputs and outcomes) within the expected time frame? Were the project implementations delayed, and, if it was, did that affect cost effectiveness or results?
- Are the projects activities in line with the schedule of activities as defined by the project team and annual work plans?
- Have the inputs from the donor, UNIDO and Government/counterpart been provided as planned, and were they adequate to meet requirements? Was the quality of UNIDO inputs and services as planned and timely?
- How adequate was the coordination/linkage with other UNIDO and other donors' projects? If yes, did this produce any synergy effects?
- What are the lessons learned from the past NIP projects and how can they be turned into Best practices for the future project implementations?
- Taking into account the whole project cycle and the contributions made by different project stakeholders (e.g., GEF, Ministries, NGOs, enterprises, other donors and agencies); what was UNIDO's value added to the efforts to reduce the production, use and release of POPs?
- What are the key advantages and disadvantages of the different implementation approaches? Are project management and implementation modalities adequate?

## **D. Sustainability**

- How will the changes in the framework of GEF project funding (GEF 6; "broadening of the GEF partnership) affect UNIDO's potential to implement POP related projects? How are the different roles of different types of agencies going to evolve?
- Are there any other trends - either external (e.g., increased cooperation of chemicals conventions, SAICM, changes in other GEF agencies approaches and capacities) or internal (e.g., UNIDO's Resource Efficiency and Cleaner Production (RECP) and Green Industry strategies) that affect the UNIDO POPs work?

## **E. Project coordination and management**

To what extent:

- The national management and overall coordination mechanisms have been efficient and effective. Did each partner have assigned roles and responsibilities from the beginning? Did each partner fulfil its role and responsibilities (e.g., providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions)?
- The UNIDO HQ and Field Office based management, coordination, monitoring, quality control and technical inputs have been efficient, timely and effective (e.g., problems identified timely and accurately; quality support provided timely and effectively; right staffing levels, continuity, skill mix and frequency of field visits)?
- Have clear responsibilities and roles (administrative and enforcement) in NIP implementation been assigned and is there appropriate institutional capacity to manage implementation? In the outsourcing of the Implementation modalities, was it clear who does what? Is there a clearly set framework and structure behind the implementation arrangements per country?
- Based on the past experience and future outlook, what are the main challenges that UNIDO will have to tackle in order to meet its POPs-related objectives?
- What are the common Agenda of UNIDO and GEF for future projects? How is UNIDO going to adapt to this common Agenda if there is any? What will be the approach?
- How will recent and planned changes within UNIDO affect the future POPs portfolio? Can UNIDO handle the large pipeline portfolio? Are the screening and approval procedures for projects appropriate and efficient?
- To what extent is UNIDO (in its present structure and capacity) prepared to answer the calls for projects that are coming out of the NIP update and review, and their implementation?
- How can UNIDO's internal project implementation (capacity, structure and efficiency) be changed in order to answer that call?
- What is the approach of UNIDO to adapt to the possibility of being able to implement increased number of projects coming out of the Action Plans set in the NIP updates and Reviews, as well as from the possibly higher mobilized funding (financial resources)?
- Is UNIDO's project managers' structure for POPs fit for purpose of implementing the projects and to what extent is it fit for this purpose?
- To what extent exist synergies between the Units and Branches within UNIDO (for instance Cleaner Production and Stockholm Convention Unit - GEF 6), and to what extents can the synergies be built in the future? What is needed to be done in order to improve the concept of using the synergies within UNIDO?
- Is UNIDO set up in the best way to use the best of the opportunities, and what would be the best structure to implement these projects?

## **F. Cross-cutting issues (socio-economic aspects etc.)**

To what extent:

- Were socio-economics aspects included in the first NIP and the second NIP?

## **G. Integrating of gender into the Enabling Activities for NIP Updates and Review**

**For the project design:** To what extent:

- Was a gender component included in the first and the second NIP?
- Is the project/programme in line with the UNIDO<sup>36</sup> and national policies on gender equality and the empowerment of women?
- Were gender issues identified at the design stage?
- Did the project/programme design adequately consider the gender dimensions in its interventions? If so, how?
- Were adequate resources (e.g., funds, staff time, methodology, experts) allocated to address gender concerns?
- Were the needs and priorities of women, girls, boys and men reflected in the design?
- Was a gender analysis included in a baseline study or needs assessment (if any)?
- Is the project/programme is people-centered, were target beneficiaries clearly identified and disaggregated by sex, age, race, ethnicity and socio-economic group?
- Is the project/programme promotes gender equality and/or women's empowerment, was gender equality reflected in its objective/s? To what extent are output/outcome indicators gender disaggregated?

**Implementation management:** To what extent:

- Did project monitoring and self-evaluation collect and analyse gender disaggregated data? Were decisions and recommendations based on the analyses? If so, how?
- Were gender concerns reflected in the criteria to select beneficiaries? If so, how?
- How gender-balanced was the composition of the project management team, the Steering Committee, experts and consultants and the beneficiaries?
- Is the project/programme promotes gender equality and/or women's empowerment, did the project/programme monitor, assess and report on its gender related objective/s?

**Project results:** To what extent:

- Have women and men benefited equally from the project's interventions? Do the results affect women and men differently? If so, why and how? How are the results likely to affect gender relations (e.g., division of labour, decision making authority)?
- In the case of a project/programme with gender related objective/s, to what extent has the project/programme achieved the objective/s? To what extent has the project/programme reduced gender disparities and enhanced women's empowerment?

---

<sup>36</sup> Once the gender mainstreaming strategy and action plans to guide the process of addressing gender issues in industrial development interventions are developed, the project/programme should align to the strategy or action plans.

## H. Procurement issues

The following evaluation questions that will feed in the Thematic Evaluation on Procurement have been developed and would be included as applicable in all projects (for reference, please see Annex 6 of the ToR: UNIDO Procurement Process):

- To what extent does the process provide adequate treatment to different types of procurement (e.g., by value, by category, by exception)
- Was the procurement timely? How long the procurement process takes (e.g., by value, by category, by exception)
- Did the good/item(s) arrive as planned or scheduled? If no, how long were the times gained or delays. If delay, what was the reason(s)?
- Were the procured good(s) acquired at a reasonable price?
- To what extent were the procured goods of the expected/needed quality and quantity?
- Were the transportation costs reasonable and within budget. If no, please elaborate.
- Was the freight forwarding timely and within budget? If no, please elaborate.
- Who was responsible for the customs clearance? UNIDO FO? UNDP? Government? Other?
- Was the customs clearance handled professionally and in a timely manner? How many days did it take?
- How long time did it take to get approval from the government on import duty exemption?
- Which were the main bottlenecks / issues in the procurement process?
- Which good practices have been identified?
- To what extent roles and responsibilities of the different stakeholders in the different procurement stages are established, adequate and clear?
- To what extent there is an adequate segregation of duties across the procurement process and between the different roles and stakeholders?

## IV. Evaluation approach and methodology

The Cluster evaluation will be conducted in accordance with the in line with the principles laid down in the “UN Norms and Standards for Evaluation”, UNIDO Evaluation Policy, the UNIDO Guidelines for the Technical Cooperation Programmes and Projects, the GEF’s 2008 Guidelines for Implementing and Executing Agencies to Conduct Terminal Evaluations, the GEF Monitoring and Evaluation Policy from 2010 and the Recommended Minimum Fiduciary Standards for GEF Implementing and Executing Agencies, and apply the standard DAC evaluation criteria to address, as systematically and objectively as possible the evaluation questions listed above. Achievements will be assessed against the objectives and indicators set out in programme and project documents and in logical frameworks of the individual projects (for the cluster evaluation). Special attention should be paid to conduct the terminal evaluation in a process and manner consistent with the “*Guidelines for Reviewing and Updating the NIP under the Stockholm Convention on POPs*” (GEF/C.39/Inf.5 of October 19 2010).

The evaluation is a forward looking exercise as it will provide analyses and recommendations to guide the future direction of UNIDO’s POPs interventions after the second NIPs, taking into account UNIDO’s mandate and comparative advantage, the work of other development agencies active in this field and needs and priorities of developing countries. The following will be done:

- Review of past performance: an analysis of performance of all UNIDO first and second NIPs activities carried out so far; the depth of analysis will differ from fully fledged evaluations of selected projects to light document reviews of enabling activities.
- Portfolio analysis: an analysis of UNIDO's first and second NIP update and review portfolio along a list of criteria (e.g., type of projects, substance areas covered/not covered, regional focus), including a comparison with other GEF agencies and an analysis of how it has and likely will evolve in the future.
- Future outlook: an analysis of trends and developments within the POPs area (coming out of the first and the second NIPs update and review) with a view to detecting future demands and requirements of UNIDO as executing and implementing agency (sustainability).
- UNIDO capacity review: an analysis of UNIDO capacities at HQ and in the field, as well as the capacity of the Government Counterparts with regard to the identification, design, implementation, monitoring and evaluation of projects.

The review of past performance needs to be based on comparable assessment of individual cluster countries from the first NIPs. These questions are to be asked per country for the whole cluster of ten countries, resulting with a summary sheet per country from the cluster evaluation from the first NIPs, and the second NIPs. Thus, when comparing the performance of different interventions, the following framework, which has taken into account the questions/indicators of the three different strategic programmes of GEF focal area strategy for POPs, will be applied.

It will be carried out as Cluster Evaluation using a participatory approach whereby all key parties associated with the project are kept informed and regularly consulted throughout the evaluation. The evaluation team will liaise with the UNIDO Office for Independent Evaluation and the Project Managers on the conduct of the evaluation and methodological issues.

The evaluation will use a triangulate approach, by combining different sources or types of information for the NIPs updates and reviews. The information sources will be the Project Manager at UNIDO, the National Project Coordinator, the beneficiaries in the countries, and representatives from the Government.

The evaluation team will be required to use different methods to ensure that data gathering and analysis deliver evidence-based qualitative and quantitative information, based on diverse sources: desk studies and literature review, statistical analysis, individual interviews, focus group meetings, and surveys. This approach will not only enable the evaluation to assess causality through quantitative means but also to provide reasons why certain results were achieved or not achieved and to double-check information for higher reliability of findings. The concrete mixed methodological approach will be described in the inception report.

The methodology will be based on the following:

1. A desk review of project related documents including, but not limited to:
  - (b) The original project document, the initial NIP of the country, the NIP update and review per country, monitoring reports, GEF tracking tool, progress and financial conciliatory reports of UNIDO training workshops and capacity building activities, Reports from the Inception Workshop, the Inventory Workshop, the Prioritization Workshop, and the Endorsement Workshop for each of the ten cluster countries, legal documents (PCBs and POPs regulations, standards and guidelines) and relevant correspondence. Other related materials prepared by the project.
  - (c) Final Financial audit report
  - (d) Other project-related material produced by the project.

2. Surveys / questionnaires will be prepared, and sent in advance to the concerned countries to be answered. The survey will be conducted in all the 52 countries where the NIPs updates and reviews took place in order to assess all the necessary criteria set in this ToR, and additionally answer the concrete questions of possible project implementation from the action plans set for the ten pilot countries chosen. The questionnaires should be done regarding mainly the outcomes of the NIPs Update and Review and the possible projects that are coming out of it. Special attention in the survey should be paid on the fact if these projects will become real projects or they will stay project proposals, or, even more, if they are already in a pipeline or are they going to become real projects. The surveys will be piloted in three example countries in August/September, 2014, and afterwards sent to the rest concerned countries in September/October, 2014. The surveys will be analyzed and evaluated during October, 2014. Additional questionnaires with a deeper analysis and an evaluation matrix will be prepared for the ten countries that will be part of the cluster evaluation.
3. Field missions to four countries out of the ten cluster countries will be done in October-November 2014.
4. Since the project document contains an EA framework (included in Annex 4 of the ToR), the evaluation consultant will assess performance against this framework.
5. Interviews with UNIDO headquarters' personnel – Project Managers and where possible UNIDO Field Offices personnel involved in the project.
6. Interviews with the National Steering Committee (NSC), personnel associated with project management, partner country focal points, project beneficiaries, and other surveys, reviews of documents deemed necessary by the evaluation team and/or UNIDO.
7. A Global UNIDO Meeting (a Learning Platform or a Platform for sharing knowledge and therewith especially strengthening the South-South Cooperation) will be organized by UNIDO's SCU where all the National Project Coordinators and the Evaluation Team will be present, with the main purpose being to identify the burning issues of the country, and that the countries learn from each other's experiences, and especially to establish a kind of mechanism with improvement proposals for the NIPs that are just starting, in order to simplify the process of preparing the NIP Updates and Reviews, and to share some Best Practices out of it. Interviews with the Government Counterparts from the Cluster Group of countries will be done during the Global UNIDO Meeting.
8. The inception report will provide details on the methodology used by the evaluation team and include an evaluation matrix for all of the cluster countries.

## **V. Evaluation team composition**

The evaluation team will be composed of one international evaluation consultant as a team leader and one senior international evaluation consultant.

The evaluation team should be able to provide information relevant for follow-up studies, including evaluation verification on request to the GEF partnership up to two years after completion of the evaluation.

The consultants will be contracted by UNIDO. The tasks of the evaluation consultants are specified in the job description attached to these terms of reference.

Members of the evaluation team must not have been directly involved in the design and/or implementation of the programme/projects.

The Projects' staff and the UNIDO Field Offices in the corresponding countries where the EAs were done will support the international evaluation consultants. The UNIDO GEF Coordinator, GEF focal points in the country and the main Government counterparts of UNIDO will be briefed on the evaluation and equally provide support to its conduct.

## VI. Time schedule and deliverables/outputs

The evaluation is scheduled to take place within the period of July to December 2014. The table below shows a tentative schedule of the evaluation activities.

Tasks	Tentative schedule
Initial Desk review	July 2014
Surveys, questionnaires, interviews at HQ	September 2014
Inception report (in English) with determination of the countries to be included in the cluster evaluation	September 2014
Pilot Study for the first and the second survey	September/October 2014
Sending the surveys to all Counterparts	October 2014
Evaluation work including document reviews, evaluation of the surveys, interviews	November 2014
Interviews with business partners and other associated actors	November 2014
Portfolio analysis	November 2014
Field visits to selected countries – probably four (to be determined)	October/November 2014
Drafting and validation of evaluation report (in English)	December 2014
Global UNIDO Meeting on National Implementation Plans and future POPs cooperation; Presentation and discussion of preliminary findings	November, 18-20, 2014 (in Vienna, Austria)
Final Evaluation report	December 2014

After the four field missions, the evaluation team will come to UNIDO HQ for debriefing and presentation of the preliminary findings of the Terminal Evaluation during the Global UNIDO Meeting on National Implementation Plans and future POPs cooperation that is scheduled for 18 to 20 November 2014. The final cluster evaluation report will be submitted end of December 2014 after the debriefing of the preliminary findings at the Headquarters.

**Evaluation process.** While underscoring the need for independence, the Office for Independent Evaluation recognizes the importance of engaging the main stakeholders in an active dialogue throughout the evaluation process. The UNIDO Evaluation Policy states that: *“Transparency and consultation with the major stakeholders are essential at all stages of the evaluation process. Involvement of and consultation with stakeholders facilitates consensus building and ownership of the findings, conclusions and recommendations; it also heightens the credibility and quality of the evaluation”*. This is fundamental to ensure the evaluators’ full understanding of the opportunities and constraints faced by the SC Unit, to engage the stakeholders in a fruitful collaboration and to facilitate the discussion of the recommendations and their adoption.

In order to do so, colleagues from the SC Unit will be invited to review and comment on the proposed evaluation methodology and process as set out in this terms of reference, participate in key discussions of the preliminary findings, as well as review and comment on the draft evaluation report.

The SC Unit will provide information and support to the evaluation as required.

## **VII. Quality assurance**

All UNIDO evaluations are subject to quality assessments by the UNIDO Office for Independent Evaluation. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process of UNIDO’s Office for Independent Evaluation, providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report by the Office for Independent Evaluation). The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as Annex 4. The applied evaluation quality assessment criteria are used as a tool to provide structured feedback. UNIDO’s Office for Independent Evaluation should ensure that the evaluation report is useful for UNIDO in terms of organizational learning (recommendations and lessons learned) and is compliant with UNIDO’s evaluation policy and these terms of reference. The draft and final evaluation report are reviewed by UNIDO Office for Independent Evaluation, which will submit the final report to the GEF Evaluation Office and circulate it within UNIDO together with a management response sheet.

## Annex B: Evaluation matrix

Project Relevance	Means of Assessment	Comments
National development and environmental priorities and strategies of the Government and population of each country from the cluster, and regional and international agreements.	Questionnaire, documentary review, interviews	
Target groups: relevance of the project's objectives, outcomes and outputs to the different target groups of the interventions (e.g. companies, civil society, beneficiaries of capacity building and training, etc.).		
UNIDO's thematic priorities: Were they in line with UNIDO's mandate, objectives and outcomes defined in the Programme & Budget and core competencies?	Interviews with project staff and documentary review	
Do the projects remain relevant taking into account the changing environment?	Questionnaire, documentary review and interviews	
To what extent the approach (es) being used are still relevant? Is there a need to reformulate the project and the project results framework given changes in the country and operational context?	Interviews with project staff and documentary review	EA project document have to follow GEF standards - very limited room for project reformulation. Not a question for the questionnaire survey.
How relevant/aligned have these projects been to the environmental strategies of the supported countries and the GEF and to the thematic priorities of UNIDO?		This is a bit overlapping with previous questions. Not a question for the questionnaire survey

Project Effectiveness	Means of Assessment	Comments
To what extent have the expected outputs and outcomes been achieved or are likely to be achieved?	Questionnaire, documentary review and interviews	Outcomes are better defined in subcontracts. Only in the case of completed NIP, it will be possible to check whether the NIP comply with the SC requirements.
How do the stakeholders perceive the quality of outputs? Were the targeted beneficiary groups (country, government, ministries, POPs producers, people living in the areas by POPs polluted etc.) actually reached?		This question can only be answered by the stakeholders themselves.
What outputs and outcomes has the project achieved so far (both		This question partially overlaps with

qualitative and quantitative results)? Has the project generated any results that could lead to changes of the assisted institutions? Have there been any unplanned effects?		the first question on this table
To what extent do UNIDO POPs projects contribute to other UNIDO objectives, such as improved environmental performance of industry, competitiveness of industry, pro-poor growth?	Interviews with project staff, documentary review	This question does not seem directly relevant to NIP review and update projects. It may however be asked to national institutions and UNIDO staff itself
To what extent have the desired benefits of UNIDO's POPs projects been sustained after project completion for the first round of NIPs? In the context of the initial NIP?		
What are the key project-internal factors (e.g. implementation approach, internal competencies, type and quality of expertise used, etc.) that determine the performance of the projects, results and sustainability?	Questionnaire, documentary review and interviews	
What are the key project-external factors (e.g. existing environmental legislation, budgetary provisions in the country, degree and form of private sector involvement (forward coming of providing data, actions), etc.) that determine the performance of the projects, results and sustainability?	Questionnaire, documentary review and interviews	
Were the follow-up projects that derived from the initial NIP according to the Action Plans defined in the initial NIP?		
Have follow-up projects already been developed as a result of the initial first NIP projects? How many and what kind of projects exactly did come out as a result of the initial first NIP? How were they financed? Were all of these projects implemented by now? In which stage are they at the moment? Why were some projects implemented for some countries, and for others not? Please state the reasons behind with a sound explanation.	Interviews with project staff, documentary review	See comments under section 4.2 below
Are appropriate legislative and regulatory frameworks in place for the initial first NIPs? How did the initial NIP and the NIP review and update projects contribute to an appropriate legislative and regulatory framework in place for the management of POPs (and other chemicals) in the country?	Questionnaire, documentary review and interviews	.
Has enforcement capacity been strengthened and sustainable after the implementation in the first NIP?	Questionnaire, documentary review and interviews	Although this question pertains only to first NIPs, it has been reformulated to cover also NIPs reviews and updates

Project Efficiency	Means of Assessment	Comments
Were the projects costs effective? Were the projects using the least cost options?		
Have the projects produced the expected results (outputs and outcomes) within the expected time frame? Were the project implementations delayed, and, if it was, did that affect cost effectiveness or results?	Questionnaire, documentary review and interviews	This is a key question of which evaluation already started during the inception phase
Are the projects' activities in line with the schedule of activities as defined by the project team and annual work plans?	Interviews with project staff and documentary review	Comparison between the sub-contracts (which provide the time frame for implementation) and the information provided by project staff
Have the inputs from the donor, UNIDO and Government/counterpart been provided as planned, and were they adequate to meet requirements?	Questionnaire, documentary review and interviews	
Was the quality of UNIDO inputs and services as planned and timely?		
How adequate was the coordination/linkage with other UNIDO and other donors' projects? If yes, did this produce any synergy effects?		
What are the lessons learned from the past NIP projects and how can they be turned into Best practices for the future project implementations?		
Taking into account the whole project cycle and the contributions made by different project stakeholders (e.g. GEF, Ministries, NGOs, enterprises, other donors and agencies); what was UNIDO's value added to the efforts to reduce the production, use and release of POPs?		See section 4.2 below
What are the key advantages and disadvantages of the different implementation approaches? Are project management and implementation modalities adequate?		

Project Sustainability	Means of Assessment	Comments
How will the changes in the framework of GEF project funding (GEF 6; "broadening of the GEF partnership) affect UNIDO's potential to implement POP related projects? How are the different roles of different types of agencies going to evolve?	Questionnaire, documentary review and interviews	
Are there any other trends - either external (e.g. increased cooperation of chemicals conventions, SAICM, changes in other GEF agencies approaches and capacities, etc.) or internal (e.g. UNIDO's Resource Efficiency and Cleaner Production (RECP) and Green Industry strategies) that affect the UNIDO POPs work?	Questionnaire, documentary review and interviews	See section 4.2 below

Project Coordination and Management	Means of assessment	
To what extent the national management and overall coordination mechanisms have been efficient and effective. Did each partner have assigned roles and responsibilities from the beginning? Did each partner fulfil its role and responsibilities (e.g. providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions...)?	Questionnaire, documentary review and interviews	
Is UNIDO's project managers' structure for POPs fit for purpose of implementing the projects and to what extent is it fit for this purpose?		
To what extent exist synergies between the Units and Branches within UNIDO (for instance Cleaner Production ad Stockholm Convention Unit - GEF 6), and to what extents can the synergies be built in the future? What is needed to be done in order to improve the concept of using the synergies within UNIDO?		
Is UNIDO set up in the best way to use the best of the opportunities, and what would be the best structure to implement these projects?		

# Annex C: Interview Protocols

## Interview Protocol - National Counterparts (example 1)

### **Introduction: general common questions**

Any questions before starting the interview

Rules on confidentiality and privacy

Any requests for additional data

### **Role and Relevance: Involvement in UNIDO projects on Enabling Activities**

1.1 Have you been involved in the formulation of the first NIP?

1.2 What are your main roles with regard to the second NIP?

1.3 What has been the relevance of the first NIP to your country, especially with regard to the environmental strategies?

1.4 What are the expectations regarding the relevance of the 2nd NIP to your country especially with regard to the environmental strategies? Do you expect it to contribute to the improvement of environmental legislation and institutional framework for the management of POPs and other chemicals in your country?

### **Effectiveness / Results / Impact**

2.1 When was the NSC established for the 2nd NIP? Which new members have been designated in charge of dealing with the new POPs (e.g. stakeholders involved with import and export of electronic appliances and from the industrial sector affected by the regulation on the production/disposal of waste and articles containing new POPs).

2.2 What has been the degree of involvement of the various stakeholders? What has been their interest and contributions for the review and update of the NIP?

2.3 Do you think that the target beneficiaries have been reached (producers, retailers, people living in the area)? Please provide examples.

2.4 Did you have any post-NIP projects? If yes please indicate which ones. Were these projects aligned with the NIP's Action Plans or not?

### **Efficiency**

3.1 What are the reasons for the delays in the project implementation and how could these have been avoided?

3.2 Is the timeline for the implementation of the project realistic? If not during which phase of the project cycle do you think more time is required and why?

3.3 What was the learning between the 1st and 2nd NIP?

3.4 Why has your country selected a different implementing agency for the 2nd NIP? or Why has your country selected UNIDO again for the implementation of the 2nd NIP?

3.5 What, in your view, has been the added value of UNIDO in the efforts to reduce the production, use and release of POPs?

3.6 Which has been the role of other donors and agencies? What is UNIDO's competitive advantaged when compared with them?

### **Sustainability**

4.1 How many GEF projects originated from the 1st NIPs (related with 2.4)?

4.2 Has your country considered the synergies among the Stockholm, Basel and Rotterdam Convention with regard to chemicals management in general? Has a synergetic approach been used in the review and update of the NIP?

4.3 What was the added value of the SAICM?

### **Project coordination and management**

5.1 What is your overall assessment regarding the national management and coordination mechanisms? Did each partner have assigned roles and responsibilities? Did each partner fulfil its role and responsibilities (e.g. providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions...)?

5.2 What was the implementation management? Was it effective? Would others have been more effective?

5.3 Has the management, coordination, monitoring, quality control and technical inputs of Field Officer been efficient, timely and effective (problems identified timely and accurately; quality support provided timely and effectively; right staffing levels; continuity; skills and frequency of field visits...)?

5.4 To what extent is UNIDO prepared to answer the calls for projects coming out of the 2nd NIP? What are the main challenges?

### **Cross- cutting issues**

6.1 Were socio economic issues included in the NIPs? Do you plan to include them?

6.2 Were gender issues included in the NIPs? If yes at which phase? If no why (lack of resources? not a concern?). Do you plan to include them?

### **General comments**

What have been the main challenges of the 2nd NIPs?

What are the expectations regarding this evaluation?

Lessons learned/recommendations that you would like to see in the evaluation?

## **Interview Protocol - Regional Managers UNIDO HQ (example 2)**

### **Introduction: general common questions**

Brief introduction of the evaluation team and its mandate (ToR June 2014)

Scope of the evaluation: from 2012 (GEF approval) to present

Brief introduction of the interviewee

Any questions before starting the interview

Rules on confidentiality and privacy

### **Role and Management**

2.1 What is your role with specific reference to UNIDO activities in the field of POPs?

2.2 Are you aware / informed of UNIDO activities concerning 1st and 2nd NIPs in the countries from your region?

### **Relevance**

3.1 Is UNIDO NIP activity relevant to UNIDO strategy in the medium / long term?

3.2 Is UNIDO NIP activity a priority compared to other focal areas in the region? Is it relevant for the general priorities and environmental challenges in the region?

3.3 Is UNIDO activity on POPs synergetic with other UNIDO focal areas activities in your region?

### **Effectiveness**

4.1 Are UNIDO - NIP update result in line with expected outcomes?

4.2 What is the impact of compliance / non compliance of UNIDO NIP activities on the UNIDO portfolio in your region?

### **Efficiency**

5.1 Have 2nd NIP activities been developed within the agreed time-frame and budget?

5.2 Are there any procurement / recruitment issues on NIP update projects in your region?

### **Sustainability**

6.1 What are the initiatives adopted at regional level to support and ensure sustainability of national NIPs? (i.e. coordination among countries, workshops, trainings, awareness raising)

6.2 How many GEF projects originated from the 1st NIP in your region?

6.3 Is the fact that UNIDO carried out NIP activity in your region facilitating the submission of new proposal on POPs to the GEF?

### **General Comments**

- What are your views and recommendations regarding the UNIDO NIP activities in your region.
- What are your expectations regarding this evaluation?
- Are there any other aspects that should be included in this evaluation?

## Annex D: List of people met and interviewed

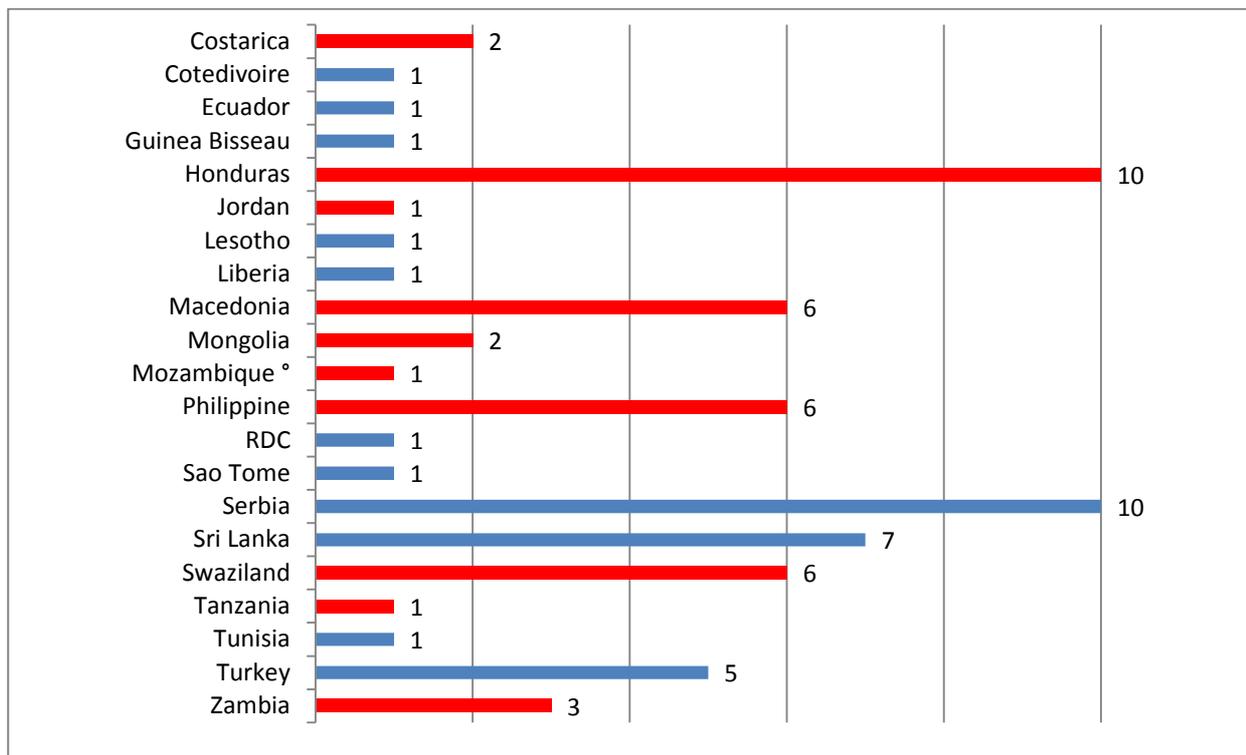
Day	Name	Position	Contacts
<b>UNIDO HQ</b>			
08-09-2014	Ms. Iva Bernhardt	Evaluation Officer	I.BERNHARDT@unido.org
	Ms. Margareta De Goys	Director ODG/EVA	m.degoys@unido.org
09-09-2014	Mr. Klaus Tyrkko	Unit Chief of SCU	k.tyrkko@unido.org
	Ms. Ms. Zilha Pinjo	Procurement	z.pinjo@unido.org
	Ms. Carmela Centeno	Project Manager	c.centeno@unido.org
	Mr. Carlos Chanduvi	Latin America & Caribbean Programme	C.Chanduvi-Suarez@unido.org
	Mr. Edme Koffi	Africa Programme	E.Koffi@unido.org
	Ms. Azza Morssy	Arab Regional Programme Chief	A.Morssy@unido.org
10-09-2014	Mr. Fukuya Iino	Project Manager	F.Iino@unido.org
	Ms. Hedda Femundsenden	UNIDO gender officer	H.Femundsenden@unido.org
	Mr. Jerome Stucki	Project Manager	J.Stucki@unido.org
	Mr. Alfredo Cueva	Project Manager	A.Cueva@unido.org
	Ms. Erlinda Galvan	Project Manager	E.Galvan@unido.org
	Mr. Peng Zhengyou	Project Manager	Z.Peng@unido.org
	Mr. Imran Farooque	Asia & the Pacific Programme Chief	I.Farooque@unido.org
11-09-2014	Ms. Olga Memedovic	Europe & Central Asia Programme	O.Memedovic@unido.org
	Ms. Zilha Pinjo	Procurement	z.pinjo@unido.org
	Mr. Juergen Hierold	GEF Coordinator	J.Hierold@unido.org
	Ms Ganna Onysko	GEF Coordination Unit	G.Onysko@unido.org
<b>Mozambique</b>			
27-10-2014	Mr. Joseph Gugunhana	NPC/FP SC	Jmarktoahoo.com
	Mr. Samsong Kuanga	NSC/FP SC	samsoncuamba@yahoo.com
<b>Mozambique</b>			
28-10-2014	Ms. Arminda Banze	NSC	armindabanzex@yahoo.com
	Ms. Marilia Bene	NSC	marilia.bene@cfm.com
	Ms. Rosa Cavele	NSC	rcavele@yahoo.com.br
	Mr. Jaime Comiche	Head of UNIDO Operations in Mozambique	j.comiche@unido.org
	Ms. Rosalina Nafe	NSC/FP Basel	rnaife@gmail.com

	Ms. Laura Nhantumbo	NSC/FP PIC	Lalidan_76@yahoo.com.br
29-10-2014	Mr. Agostinho Fernando	NSC	agostinhofernando@yahoo.com.br
<b>Philippines</b>			
26-10-2014	Ms. Susana Gallardo	Project Coordinator on DLSU	susan.gallardo@dlsu.edu.ph
27-10-2014	Ms. Jurex Gallo	Assistant Project Coordinator	Jurex_gallo@yahoo.com
	Ms. Jocelyn Borja	POPs Specialist-pesticides	josephine.borja@dlsu.edu.ph
28-10-2014	Mr. Joel Maleon	Assistant Project Coordinator	Jjdm0439@yahoo.com
	Mr. Renato Cruz	Projecto Coordinator- EMB	<a href="mailto:cruz.renato.t@gmail.com">cruz.renato.t@gmail.com</a>
	Ms. Nelia Granadillos	NSC Member	Oshc_dole@yahoo.com
29-10-2014	Mr. Michel Prometilla	POP Specialist - Socio Ecomic	michael.prometilla@dlsu.edu.ph
	Ms. Leonila Abelia	POPs Specialist - PFOS	leonila.abella@dlsu.edu.ph
	Mr. Carl Estrellan	POPs Specialist – PPCBs and U - POPs	carl.estrellan@dlsu.edu.ph
30-10-2014	Ms. Ana RiVera	Health Aspects of NIP	<a href="mailto:rivera_attf@yahoo.com">rivera_attf@yahoo.com</a>
	Mr. Maricar Prudente	PBDE Inventory Expert	maricar.prudente@dlsu.edu.ph
31-10-2014	Ms. Emanuelita Mendoza	Project Corrdinator on EMB side	<a href="mailto:embmendoza@gmail.com">embmendoza@gmail.com</a>
<b>Swaziland</b>			
30-10-2014	Mr. Minky Groenewald	Project Coordinator	minky@sea.org.sz
	Mr. Vusumuzi Simelane	Project Manager	vmelane@sea.org.sz
	Mr. Thabile Ndlovu	National Consultant (Industrial Chemicals)	thabile@uniswa.sz
	Mr. William Ndlela	National Consultant (Pesticides)	wndlela@uniswa.sz
30-10-2014	Mr. Stephen Khumalo	Housing and Urban Development	takisi25@gmail.com
31-10-2014	Mr. Mancoba Zwane	Swaziland Electricity Company	zwane.mancoba@gmail.com
<b>UNIDO Global Meeting</b>			
18-11-2014	Mr. José Alberto Rodríguez Ledezma	NSC Costa Rica	jalberto@minae.go.cr
	Ms. Rima Hasan Said Mustafa	Jordan	reema325i@yahoo.com
19-11-2014	Ms. Aita Sarr Seck	NPC Senegal	aitasec@yahoo.fr
	Ms. Mireya Valladares Ortega	NPC Honduras	m.valladaresortega@unido.org
	Ms. Rogathe D. Kisanga	Assistant to NPM Tanzania	rogathe.kisanga@vpo.go.tz or rogate2002@yahoo.com

	Mr. Christopher Kanema	Assistant Manager to the NPC Zambia	cmkamina@gmail.com
	Ms. Hadidjatou Issoufou Bazi	Niger	issoufouhadidjatou@yahoo.fr
	Ms. Suzana Andonova	Macedonia	s.andonova@pops.org.mk
	Mr. Mahmut Osmanbasoglu	Turkey	mahmut.osmanbasoglu@csb.gov.tr
20-11-2014	Ms. Christinae Estelle Ickonga	Rep. of Congo	christia.pfsc@gmail.com

## Annex E: Questionnaire survey analysis

Figure 1: Number of answers received by country (cluster countries in red).



### Relevance

One of the most important aspects of the NIP review and update projects is whether this activity is relevant to the country needs. Relevance for the county includes the degree of involvement of key stakeholders, the contribution of the project to remove regulatory constraints and gaps, address environmental priorities and identify strategies for solving environmental issues related to POPs.

The Figures from 2 to 7 below provide information on the relevance of the projects.

One of the most important aspects of the NIP review and update projects is whether this activity is relevant to the country needs, especially with regard to their environmental needs, priorities and strategies. Relevance for the county includes the contribution of the project to remove regulatory constraints and gaps, address environmental concerns and identify strategies for solving environmental issues related to POPs and the degree of involvement of key stakeholders.

246. Both the original NIP and its review and update are aligned with the country needs and strategies although it has been stressed that environment is not a priority issue for many of the countries. Some interviewees and respondents to the questionnaires have pointed out that the original NIPs are still not fully implemented and as such expect the their review and update to contribute to the consolidation of the process. Examples of such contribution include the adoption of a framework law on chemicals management, institutional capacity building and enforcement.

247. In some cases, the first NIPs were perceived overambitious and there was a need to make them more implementable. The countries in the final stage of the NIP review and update reported therefore that greater emphasis was put in ensuring that they are implementable.

248. The interviewees have considered the NIP review and update activity very relevant but they are considered less relevant to the least industrialized countries because most of the new POPs are industrial POPs. How to practically implement the requirements related to specific new POPs - like Polybrominated diphenyl ethers (PBDEs) and Perfluorooctane Sulfonate (PFOs) is considered very challenging.

249. The guidance for the NIPs review and update is perceived as very relevant and useful for the countries. The availability of guidance on new POPs emerged from both the questionnaire surveys and the interviews as an important resource for the countries.

250. The NIP review and update activities are in general considered to be more aligned with the UNIDO agenda concerning greening industry and waste management, e-waste, recycling but some argued for better integration with the new DG strategy- Vision on inclusive and sustainable industrial development.

251. From both the interviews and the questionnaire survey, no need for substantial reformulation or modification of EAs project emerged. Indeed, all the projects followed a standard model intervention and shared the same GEF template for EA, and the issue of project reformulation, although explicitly asked, was not considered as a priority by any of the respondents. Few countries adopted a limited "tailoring" of projects, for instance for the procurement of x-ray fluorescence (XRF) analysers.

252. In general, the activities developed under the original NIP and its review and update have raised the management of chemicals at the national level through inter alia the improvement on environmental planning, and legislation. This has included the enactment and drafting of new legislation, comprising lists of bans and restrictions, and has been rated by respondents to the questionnaire as S and HS.

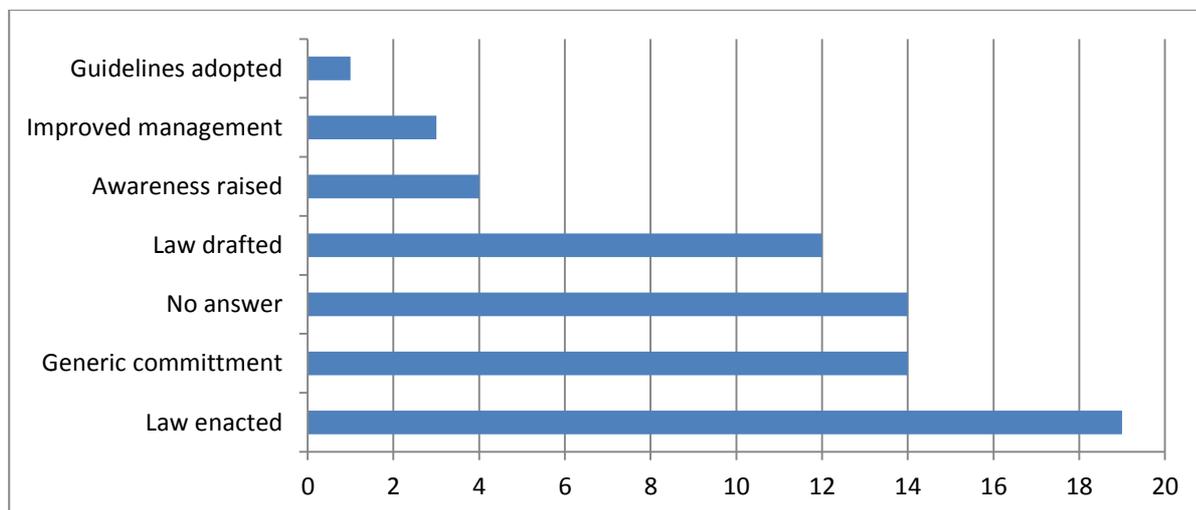
and Figure 3 show the result of the questionnaire survey with reference to the relevance of the NIP review and update with environmental legislation; Figure 4 and

Figure 5 concern the relevance of NIP review and update with the environmental priorities of each country; and

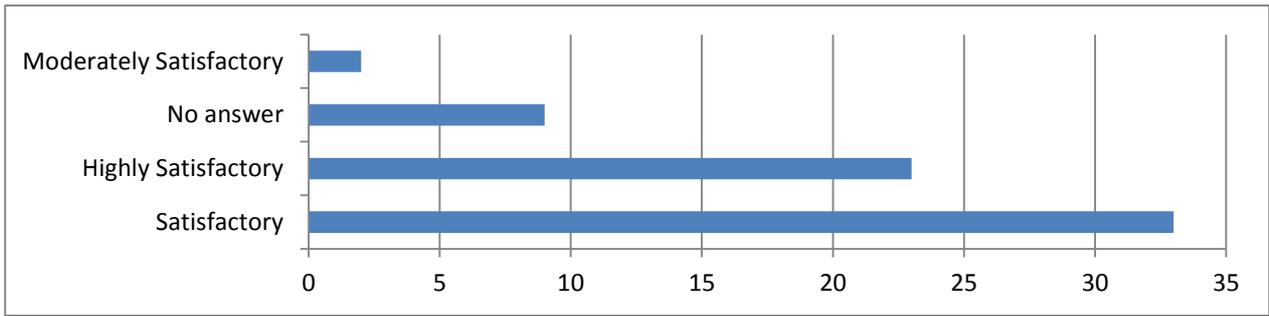
Figure 6 and

Figure 7 describe the stakeholder participation. In general, the activities developed under the first and second NIPs are considered very relevant for the countries, as they have contributed to improving the environmental planning and legislation and were effective in involving key stakeholders.

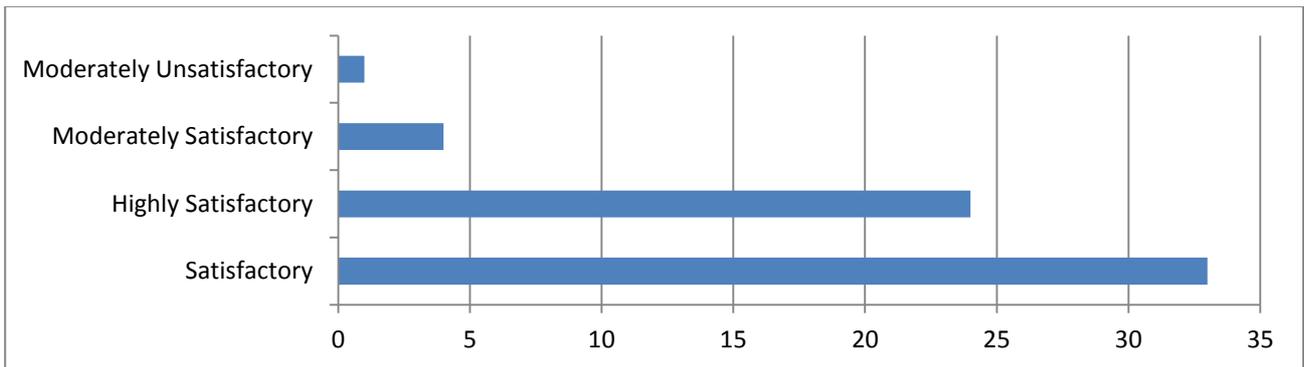
**Figure 2: How the NIP update and the previous NIP contributed to the improvement of environmental legislation for the management of POPs and other chemicals in the country?**



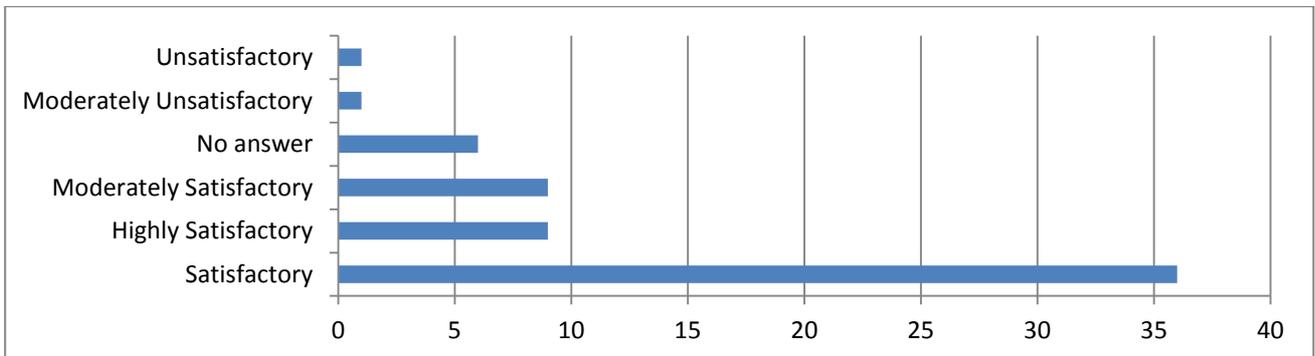
**Figure 3: Does the NIP update include plans to improve the legislation on POPs and its enforcement?**



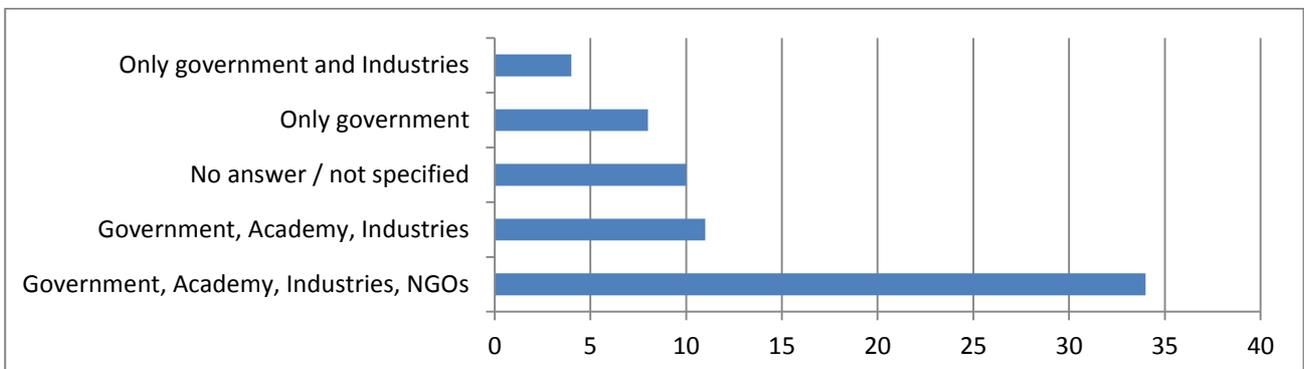
**Figure 4: Has the NIP review and update been relevant for the country development especially with regard to its environmental priorities?**



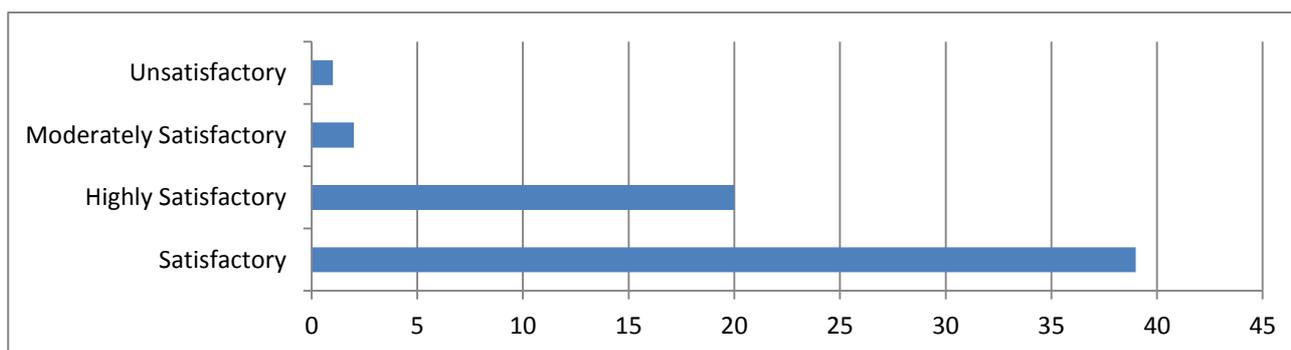
**Figure 5: Do short term environmental strategies of the country include POPs?**



**Figure 6: Which stakeholders have been involved in the NIP update and review?**



**Figure 7: To what extent the target groups (i.e. companies, NGOs, training participants) have been involved in the NIP review and update?**



## Effectiveness

The effectiveness of the projects may be measured as the sum of the actual achievements related to expected outcomes of the project, independently from the resources allocated and the time required to achieve them.

In the present case, the assessment of the effectiveness based on questionnaire results is complex due to the different status of implementation of the project in the different countries. It should also be highlighted that the survey took place when most of the countries were at the initial stage of the NIP project- effectiveness seems therefore to be limited and could be improved. This is indubitably due also to the limited budget made available for the project.

The questionnaires asked a number of questions related to the effectiveness of project outcome. As one of the main purposes of the project is to update the inventories and identify priorities and strategies, the most important questions are related to that part. However, other questions were also related to the effectiveness of the NIP review and update, including the institutional changes generated by it and whether unexpected changes generated positive or negative effects.

Table 2 below provides a brief analysis of the level of detail of the inventories and the percentages of cases for which a strategy was drafted is reported. Despite the complexity of the questionnaire related to the level of detail of the inventories, the analysis reveals that a satisfactory number of answers were provided. The lowest rate of answers was provided for PBDEs substances, whilst PCBs and PCDD/F received the highest rate. However the answer ratio for all the substances was in the order of 60%.

The average level of detail is the highest for PCBs. Indeed, PCBs are the POPs for which inventories most often imply sampling and analysis, and its inventory methodology is quite a consolidated. For this reason, it is not surprising that the answers for PCBs reveal the highest perceived accuracy of the inventory - a value between a detailed inventory including identification, sampling and analysis of all known sources/stockpiles and a preliminary inventory based on limited sampling and analysis among known sources/stockpiles. For the meaning of the average level of detail, refer to Table 3.

Similarly, the value for PCDD/F, PBDEs and PFOs was expected as the inventory for these substances is in most cases based on emission or concentration factors provided by official guidance document. PCBs are also the substance for which more frequently a strategy is drafted, followed by PFOs (which is rather surprising due to the lack of information which generally affects PFOs inventories). However, considering that a strategy should have been drafted for all POPs, taking the percentage of cases for which a strategy has been drafted as an indicator of effectiveness, this appears quite low.

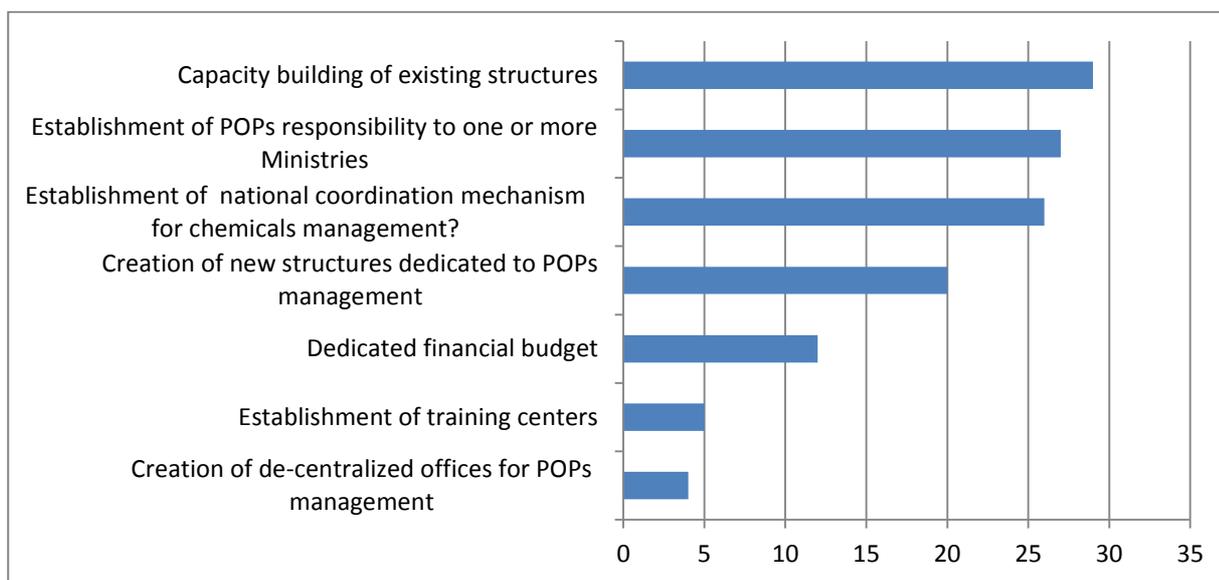
Another measure of the effectiveness is the amount of positive changes generated by the NIP reviews and update projects. As illustrated by these. In most of the cases respondents have considered these changes to have more an institutional nature, such as the capacity building of existing departments, the assignment of responsibilities to one or more ministries, the establishment of national coordination mechanism. In a limited number of cases, however, the changes are more tangible, like the creation of new structures dedicated to POPs management (like for instance the POPs unit in Macedonia). In the questionnaire survey, the establishment of de-centralized structures and the availability of dedicated budgets were reported by the respondents.

below, in most of the cases, the changes are limited to "soft" interventions, like the capacity building of existing departments, assignment of responsibilities to one or more ministries, coordination mechanism. In a limited number of cases the changes are more tangible, like the creation of new structures dedicated to POPs management, dedicated financial budget, or the establishment of de-centralized structures.

**Table 1: Level of detail of the inventories based on the answers from the questionnaire survey (limited to detailed questionnaires)**

	Pesticides	PCBs	PCDD/Fs	PBDEs and other U-POPs	PFOS
Answer ratio %	0.64	0.65	0.65	0.59	0.62
Average level of detail(*) <sup>37</sup>	2.27	4.18	2.68	3	2.53
Strategy drafted %	0.38	0.56	0.47	0.38	0.53

**Figure 8: Which of the following changes in the institutions have been generated by the NIP review and update?**



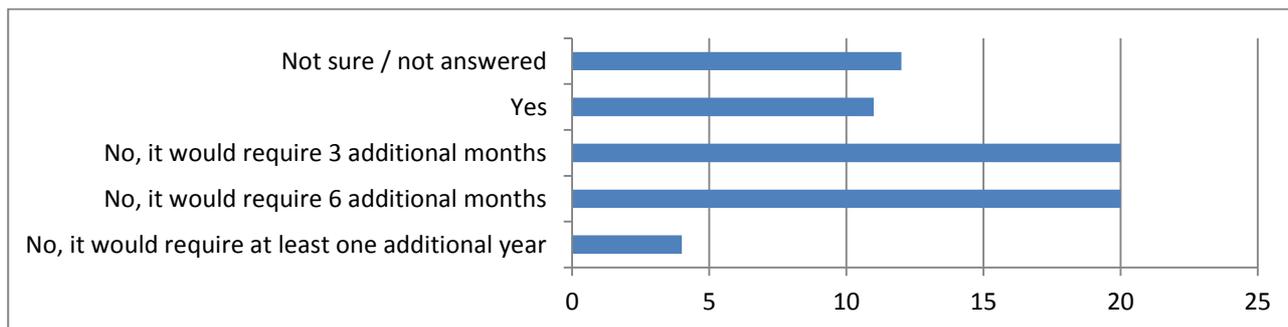
### Efficiency

One of the basic indications of the efficiency is the compliance with contractual delivery timeframe. This aspect was also evaluated based on the documentary review of the deliverables available against their expected delivery time for all the countries under evaluation. Two questions in the questionnaire were aimed at understanding this aspect: whether the allocated contractual time was enough for conducting and updating the inventory of POPs (**Error! Not a valid bookmark self-reference.**) and whether the allocated contractual time was enough for completing and endorsing the updated NIP (

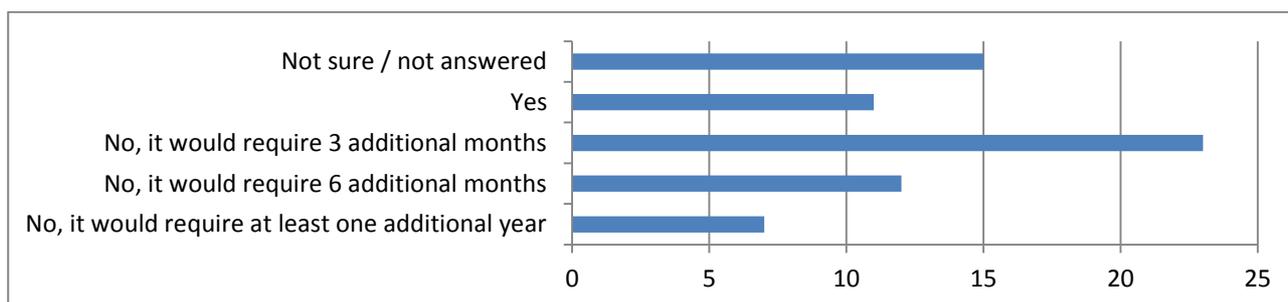
Figure 10. In both cases the majority of the answers indicated that the allocated time was not enough, and that an additional time from 3 months to one year was considered necessary.

<sup>37</sup> (\*)5=Detailed inventory including identification, sampling and analysis of all known sources/stockpiles; 4=Preliminary inventory based on limited sampling and analysis among known sources/stockpiles; 3=Estimation of quantities based on direct survey and use of emission factors (i.e. UNEP toolkit) - no sampling or analysis; 2=Estimation of quantities based on emission factors (i.e. UNEP toolkit), no surveys; 1=Qualitative information ; 0=No inventory has been carried out

**Figure 9: Was allocated time enough for conducting and updating the inventory of POPs?**



**Figure 10: Was allocated time enough for completing and endorsing the updated NIP?**



The result, expressed as percentage of the number of answers under

**Figure 11**, shows that in both cases the level of support was perceived as high, although in the case of the NIP update and review carried out by UNIDO there was a sharp increase in the number of respondents who considered the UNIDO support "highly satisfactory" (from 27.9% to 47.1%), showing a better UNIDO efficiency in providing its services.

Obviously the two outcomes are not directly comparable, as the first NIP was a very new activity for the countries, whilst the 2nd NIP was based on the experience and resources already consolidated at the time of the original NIP.

Concerning the selection of UNIDO instead of the implementing agency in charge of the original NIP, the main reasons reported were: the experience gathered by UNIDO in many other countries (6 answers); and the specific technical preparation (5 answers). The question was not applicable for 17 countries (regarding which UNIDO was the implementing agency for the original NIP) and was not answered in 20 cases.

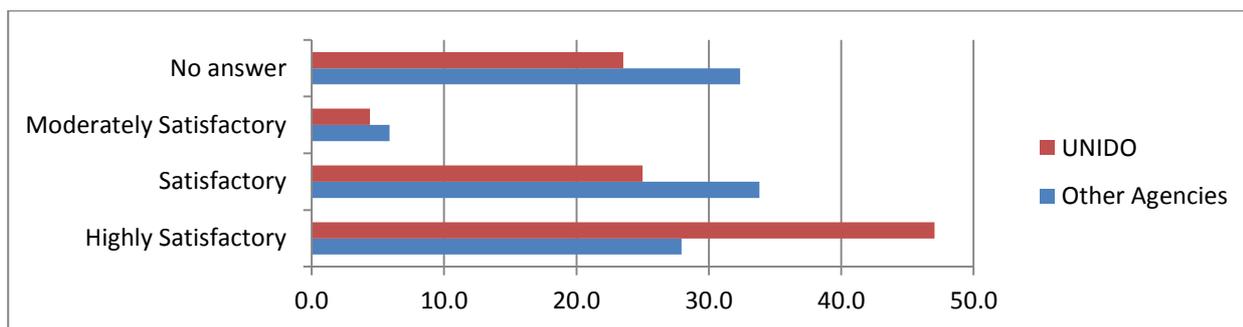
With regard to UNIDO added value (

Figure 12), the score assigned (from Highly Satisfactory = 5 to Highly unsatisfactory = 0) were always very high, on average from 3.9 to 4.6. The highest perceived added value was the technical knowledge of the international consultant, whilst the lowest was the capacity to promote international exchange.

Also relevant to assess the efficiency of the project is the perception of the implementation

The main benefits of the selected implementation modality were the counterpart participation, the agency participation, and the Integration of priority sectors under a clear implementation methodology. The main perceived shortcomings were the tight timeframe, the reduced quality control, limited training and awareness raising and limited international exchange, as well as the time required for procurement and contracting.

**Figure 11: How would you score the support of the agency who did the first NIP? How would you score the support of UNIDO for the NIP update and review?**



**Figure 12: What was UNIDO's value added to the identified, in the NIP update projects, strategies aimed at reducing the production, use and release of POPs?**



**Figure 13: Perceived advantages and disadvantages of the implementation modality adopted in the different countries**

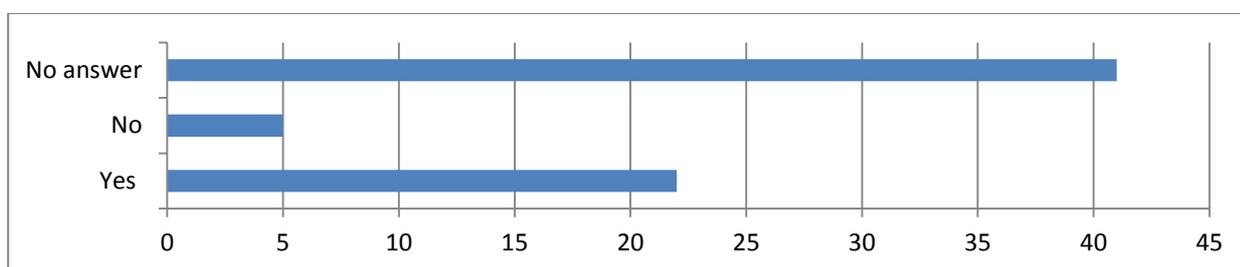
Advantages		Disadvantages	
<b>Counterpart participation</b>	<b>11</b>	<b>Tight timeframe</b>	<b>10</b>
<b>Agency participation</b>	<b>8</b>	<b>Reduced quality control</b>	<b>8</b>
<b>Integration of priority sectors / clarity of methodology</b>	<b>6</b>	<b>Limited training / awareness raising</b>	<b>6</b>
<b>Training / Learning</b>	<b>3</b>	<b>Limited international exchange</b>	<b>6</b>
<b>Clear responsibilities</b>	<b>3</b>	<b>Time for procurement and contracting</b>	<b>6</b>
<b>Planning</b>	<b>3</b>	<b>limited resources</b>	<b>2</b>

## Sustainability

The sustainability section of the questionnaire was developed mainly to assess whether the NIP review and update was integrated with other national or international commitments, and whether NIP action plans were supported by a dedicate allocation of funds and the enforcement of specific national legislation. In this context, integration with SAICM and synergies with the Basel and Rotterdam Conventions where considered as relevant indicators of future sustainability of the second NIPs.

With regard to synergies (Figure 14) most of the respondents answered positively (50 over 68) whilst only one answered negatively and 17 did not provide any answer. It is interesting to note that in most countries the entities in charge of these conventions are either the same (one institution coordinating all the activities of the 3 conventions) or are strictly interacting. Therefore, the NIP update and review, independently from its level of detail, has been in most of the cases implemented by the same group of governmental officers in charge of chemical and waste management, ensuring therefore consistency and sustainability of actions.

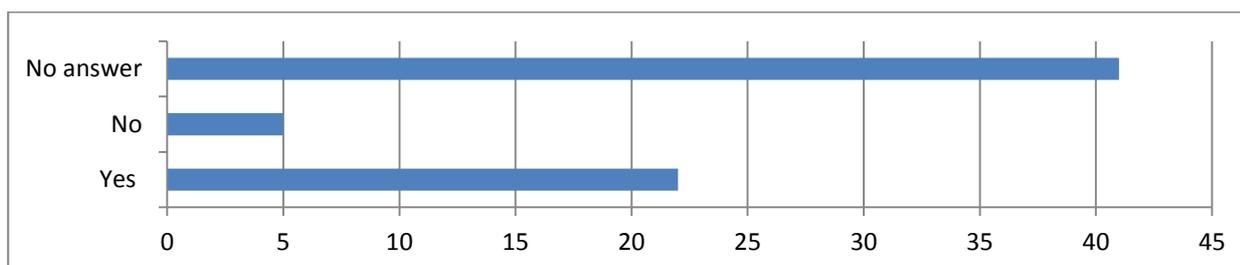
**Figure 14: Has your country considered the synergies among the Stockholm, Basel and Rotterdam Convention in developing, reviewing, or updating the NIP?**



However to the question "Have the priority / strategies identified in the updated NIP be properly supported by financial and regulatory mechanisms?" (

Figure 15) 41 respondents over 68 did not provide any answer. 22 answered affirmatively, and 5 answered "no". On this side, therefore, the sustainability of the action plans originated from the NIP update is perceived as low.

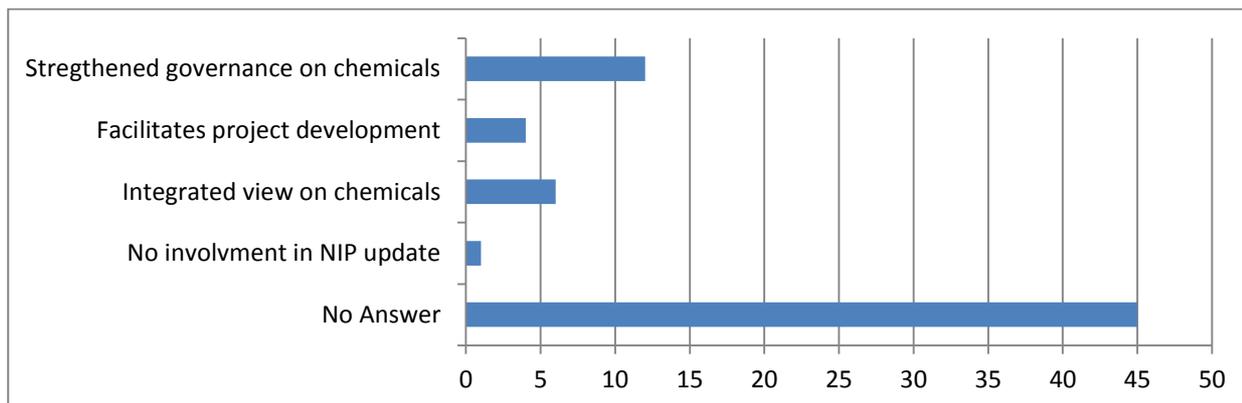
**Figure 15: Have the priority / strategies identified in the updated NIP be properly supported by financial and regulatory mechanisms?**



With regard to the integration with SAICM (Figure 15 below)- the majority of the respondents (12 over 39) answered that SAICM was useful to strengthen the governance of chemicals, whilst 6 declared that SAICM provided an integrated view on chemicals and 4 that SAICM somehow facilitates the development of projects. 20 did not answer to the question. On the other hand with regard to the level of support from financial and regulatory mechanisms for the priorities and strategies identified under the NIP (

Figure 15) 41 respondents over 68 did not provide any answer. 22 answered affirmatively, and 5 answered "no". The sustainability of the action plans originated from the NIP update is at this level perceived as low.

**Figure 16: What is the added value of the SAICM process?**



### Score ranking based on the questionnaire survey

The evaluation is required to elaborate a synthetic rating for Relevance, Effectiveness, Efficiency and Sustainability. A methodology for calculating a score for each of the above evaluation criteria for the detailed and simplified questionnaire was developed. Therefore, in addition to the analysis of answers which is reported in this section, an assignment of scores was carried out.

Indeed, the questionnaires were designed with the purpose to facilitate the assigning of scores to each answer. For this reason, most of the questions contained in the questionnaire were "closed" question, to which it is possible to answer only by selecting an answer from a drop-down list: out of 81 questions in the detailed questionnaire, only 15 allowed an open answer, and the remaining were closed questions. As for the simplified questionnaire, out of 56 questions only 12 were open questions. In addition of facilitating the assignment of scores, this also reduced the subjectivity of interpretation of the answers.

For the closed questions, a score was assigned based on the number of choices in descending order- for instance, the standard 6 degrees of evaluation from highly satisfactory to highly unsatisfactory were ranked in descending order from 5 to 0; for the level of detail of the inventory, the rating was assigned in descending order based on the level of detail, as following:

**Table 2: Score assigned to the different level of detail of POPs inventory.**

Level of detail of the inventory	Score assigned.
Detailed inventory including identification, sampling and analysis of all known sources/stockpiles	5
Preliminary inventory based on limited sampling and analysis among known sources/stockpiles	4
Estimation of quantities based on direct survey and use of emission factors (i.e. UNEP toolkit) - no sampling or analysis	3
Estimation of quantities based on emission factors (i.e. UNEP toolkit), no surveys	2
Qualitative information	1
No inventory has been carried out	0

For the open question, there was the need to analyze the answer and then assign a score. The methodology adopted for scoring the answers to the open question is summarized in

Table 3 below.

One of the main issues in assigning scores to the questionnaires was how to deal with unanswered questions. In general, unanswered questions were assigned with zero value (or a neutral value depending on the case). However, when for each indicator the number of unanswered questions was greater than 20% of the total number of questions, no score was assigned to that indicator.

The issue of unanswered questions was evident for the section concerning inventory of POPs, which was assessed under the "effectiveness" indicator. There were in general a large number of unanswered questions in the POPs inventory section because, even in countries where the NIP review and update was complete and submitted, some respondents were not aware of the level of detail of the inventories, therefore the scoring for that section is relatively unstable as it depends on the level of knowledge of the respondent rather than on the actual level of detail of the inventory. It should be pointed out that non-cluster countries were asked only to answer the simplified questionnaire, which does not contain a detailed inventory section.

**Table 3: Criteria for assigned a score for answers to the open questions**

<b>Section 2. General questions</b>	<b>Criteria</b>
When was the reviewed and updated NIP submitted to the SC secretariat?	<i>If the updated NIP has not been submitted, a 0 score is assigned, otherwise 1</i>
If not yet submitted, when is submission expected?	<i>If there are no info on the expected submission, a 0 score is assigned, otherwise 1</i>
Which are the institutions in charge of NIP review and update?	<i>One point for each of the following Ministries: Environment, Health, Industry or equivalent</i>
When was the national coordination mechanism established and which entities integrate it?	<i>National coordination mechanism established = 1; not established = 0</i>
How the NIP update and the previous NIP contributed to the improvement of environmental legislation for the management of POPs and other chemicals?	<i>Legislation on POPs enacted and enforced = 5; only enacted = 4; Drafted = 3; generic legislation on chemicals enacted = 2; others = 1; no improvement = 0</i>
<b>Section 3. Project Relevance</b>	<b>Criteria</b>
If the answer to the previous question is yes, please shortly describe the strategies (max 500 characters)	<i>Strategy clearly described with evidences 4; Strategy clearly described 3; Strategy generically described 2; Strategy poorly described 1; No answer 0</i>
What was their main interest and contribution to the process?	<i>Specific interest in line with POPs reduction 3; Interest partially conflicting 2; generic or limited interest 1; no contribution / no answer 0</i>
<b>Section 4. Project Effectiveness</b>	<b>Criteria</b>
Was a national coordination mechanism for chemicals management established? which entities integrate it?	<i>Clear info provided on the 2 questions =2; Answer to only one question = 1; no acceptable answer = 0</i>
Others (please provide details)	<i>Alternative provided = 1; no answer = 0</i>
Please shortly describe unplanned effects if any	<i>From 0 to 4 based on the effect</i>
<b>Section 5. Project Efficiency</b>	<b>Criteria</b>
If UNIDO did not do the first NIP, what was the reason to select UNIDO as partner for the second NIP instead of the previous agency?	<i>Trust in UNIDO technical competence 3; Acquaintance with UNIDO staff 2; UNIDO did the previous NIP 1; No answers 0</i>
In case of delays in the project implementation were its results or cost-effectiveness affected?	<i>From 4 to 1 based on the severity of the impact of the delay (5 no impact 0 very high impact)</i>
What are the lessons learned from the past NIP projects?	<i>If a lesson was learned 1, if no lesson were learned 0</i>
How have these turned into Best practices for NIP update activities?	<i>If the learned lesson was turned into BP 1, if no 0</i>
What are the key advantages and disadvantages of the different implementation approaches?	<i>Current approach presents advantages: 2. Current approach present mostly advantages and some disadvantages with proposed solutions: 1. Current approach present mostly disadvantages: 0</i>
<b>Section 6. Sustainability</b>	<b>Criteria</b>
Has your country considered the synergies among the Stockholm, Basel and Rotterdam Convention in developing, reviewing, or updating the NIP? If the answer to is yes please provide examples	<i>Example provided from 1 to 3 based on the case; Example not provided = 0</i>
What was the added value of the SAICM process?	<i>Added value described = 1; added value absent or not described = 0</i>

It is also important to stress the fact that the scoring based on the questionnaire survey derives from the perception of the respondents; it is therefore a "self assessment" of the project results made by the respondents which in most cases were also in charge of project implementation or supervision, which require triangulation with the other sources of information (interviews, documentary review).

Based on the detailed scoring of all the answers, the average score for each evaluation criterion emerging from the questionnaire survey is reported in

Table 4 below. In summary the level of project understanding is considered satisfactory by the respondents. As for the relevance the perception of the respondents is moderately satisfactory for cluster countries and satisfactory for non-cluster countries. All the respondents rated effectiveness in achieving project outcomes as moderately satisfactory and the project efficiency as satisfactory. As for the sustainability of the actions respondents from cluster countries considered them to be satisfactory whereas those from non-cluster countries rated sustainability as moderately satisfactory.

**Table 4: Average score by evaluation criteria for cluster and non cluster countries**

Evaluation Criteria	Score for cluster countries	Score for non-cluster countries
Project understanding	S	S
Relevance for the country	MS	S
Effectiveness in achieving project outcomes	MS	MS
Efficiency	S	S
Sustainability of actions	S	MS

Table 6 and 7 provide the detailed rating by evaluation criteria respectively for cluster and non-cluster countries. For each country both the scoring (from 0 = Highly Unsatisfactory to 1 = Highly satisfactory) and the rating (HS, S, MS, MU, U, HS) are reported

**Table 5: Detailed scoring by evaluation criterion for cluster countries**

Country	Type of questionnaire	NIP update completed	Preliminary inventory completed	Cluster country	Project understanding (General aspects)		Relevance (for the country)		Effectiveness in achieving project outcomes		Efficiency		Sustainability of actions	
					Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating
Costarica	Detailed	no	yes	yes	0.63	MS	0.44	MU	0.57	MS	0.70	S	0.50	S
Honduras	Detailed	no	no	yes	0.83	HS	0.74	S	N/A	N/A	0.78	S	0.70	S
Honduras	Detailed	no	no	yes	0.83	HS	0.67	S	0.38	MU	0.77	S	0.70	S
Honduras	Detailed	no	no	yes	0.79	S	0.70	S	N/A	N/A	0.86	HS	0.70	S
Honduras	Detailed	no	no	yes	0.58	MS	0.52	MS	0.52	MS	0.62	S	0.90	HS
Honduras	Detailed	no	no	yes	0.75	S	0.78	S	0.24	U	0.90	HS	0.80	S
Honduras	Detailed	no	no	yes	0.71	S	0.56	MS	N/A	N/A	0.74	S	0.50	MS
Honduras	Detailed	no	no	yes	0.71	S	0.63	MS	N/A	N/A	N/A	NA	N/A	N/A
Honduras	Detailed	no	no	yes	0.79	S	0.78	S	0.44	MU	0.77	S	0.70	S
Honduras	Detailed	no	no	yes	0.71	S	0.78	S	0.36	MU	0.78	S	0.90	HS
Honduras	Detailed	no	no	yes	0.75	S	0.74	S	0.46	MU	0.66	MS	0.80	S
Macedonia	Detailed	yes	yes	yes	0.88	HS	0.74	S	0.61	MS	0.81	S	0.60	MS
Macedonia	Detailed	yes	yes	yes	0.88	HS	0.70	S	0.62	MS	0.81	S	0.90	HS
Macedonia	Detailed	yes	yes	yes	0.83	HS	0.67	S	0.62	MS	0.81	S	0.90	HS
Macedonia	Detailed	yes	yes	yes	0.71	S	0.48	MU	0.68	S	0.79	S	0.60	MS
Macedonia	Detailed	yes	yes	yes	0.54	MS	0.44	MU	0.23	U	0.48	MU	0.60	MS
Mongolia	Detailed	yes	yes	yes	0.88	HS	0.70	S	0.71	S	0.78	S	0.90	HS
Mongolia	Detailed	yes	yes	yes	0.79	S	0.44	MU	0.72	S	0.89	HS	0.70	S
Philippine	Detailed	yes	yes	yes	0.67	S	0.70	S	N/A	N/A	0.63	MS	0.60	MS
Philippine	Detailed	yes	yes	yes	0.54	MS	0.59	MS	N/A	N/A	0.68	S	N/A	N/A
Philippine	Detailed	yes	yes	yes	0.63	MS	0.67	S	N/A	N/A	0.54	MS	0.50	MS
Philippine	Detailed	yes	yes	yes	0.71	S	0.63	MS	N/A	N/A	0.73	S	0.70	S
Philippine	Detailed	yes	yes	yes	0.92	HS	0.67	S	0.22	U	0.88	HS	0.80	S
Swaziland	Detailed	yes	yes	yes	0.38	MU	0.59	MS	0.29	U	0.77	S	0.90	HS
Swaziland	Detailed	yes	yes	yes	0.54	MS	0.44	MU	0.87	HS	0.67	S	N/A	N/A
Swaziland	Detailed	yes	yes	yes	0.63	MS	0.52	MS	N/A	N/A	0.62	MS	0.70	S
Swaziland	Detailed	yes	yes	yes	0.58	MS	0.44	MU	0.36	MU	0.57	MS	0.50	MS
Swaziland	Detailed	yes	yes	yes	0.71	S	0.67	S	0.35	MU	0.74	S	0.80	S
Swaziland	Detailed	yes	yes	yes	0.46	MU	0.33	MU	N/A	N/A	0.70	S	0.70	S
Zambia	Detailed	no	no	yes	0.71	S	0.52	MS	0.45	MU	0.27	U	0.80	S
Zambia	Detailed	no	no	yes	0.71	S	0.59	MS	0.62	MS	0.79	S	0.50	MS
Zambia	Detailed	no	no	yes	0.54	MS	0.30	U	N/A	N/A	0.49	MU	0.50	MS
Jordan	Detailed	no	no	yes	0.54	MS	0.30	U	N/A	N/A	0.49	MU	0.50	MS
Costarica	Simplified	no	yes	yes	0.67	S	0.71	S	0.68	S	N/A	N/A	N/A	NA
Macedonia	Simplified	yes	yes	yes	0.75	S	0.75	S	0.46	MU	0.87	HS	0.57	MS
Philippine	Simplified	yes	yes	yes	0.79	S	0.83	HS	0.75	S	0.84	HS	0.57	MS
Tanzania	Simplified	no	no	yes	0.67	S	0.71	S	N/A	N/A	N/A	N/A	N/A	N/A
<b>AVERAGE FOR CLUSTER COUNTRIES</b>					<b>0.69</b>	<b>S</b>	<b>0.61</b>	<b>MS</b>	<b>0.51</b>	<b>MS</b>	<b>0.71</b>	<b>S</b>	<b>0.69</b>	<b>S</b>

**Table 6: Detailed scoring by evaluation criterion for cluster countries**

Country	Type of questionnaire	NIP update completed	Preliminary inventory completed	Cluster country	Project understanding (General aspects)		Relevance (for the country)		Effectiveness in achieving project outcomes		Efficiency		Sustainability of actions	
					Score	Rating	Score	Rating	Score	Rating	Score	Rating	Score	Rating
Serbia	Detailed	no	no	no	0.58	MS	0.59	MS	0.61	MS	0.79	S	0.50	MS
Cote d'Ivoire	Simplified	no	no	no	0.75	S	0.71	S	0.29	U	0.62	MS	0.57	MS
Ecuador	Simplified	no	no	no	0.79	S	0.71	S	0.57	MS	0.38	MU	0.57	MS
Guinea Bisseau	Simplified	no	no	no	0.50	MS	0.63	MS	0.93	HS	0.73	S	0.86	S
Lesotho	Simplified	no	no	no	0.75	S	0.79	S	0.71	S	0.94	S	0.86	HS
Liberia	Simplified	no	no	no	0.58	MS	0.71	S	0.57	MS	0.71	S	0.57	MS
RDC	Simplified	no	no	no	0.71	S	0.75	S	0.43	MU	0.81	S	0.57	MS
Sao Tome and Pri	Simplified	no	no	no	0.67	S	0.67	S	N/A	N/A	N/A	N/A	N/A	N/A
Serbia	Simplified	no	no	no	0.75	S	0.83	HS	0.57	MS	0.95	HS	0.71	S
Serbia	Simplified	no	no	no	0.79	S	0.79	S	N/A	N/A	0.46	MU	0.57	MS
Serbia	Simplified	no	no	no	0.83	HS	0.79	S	N/A	N/A	0.92	HS	0.71	S
Serbia	Simplified	no	no	no	0.79	S	0.79	S	N/A	N/A	0.72	S	0.57	MS
Serbia	Simplified	no	no	no	0.83	HS	0.79	S	N/A	N/A	0.46	MU	0.57	MS
Serbia	Simplified	no	no	no	0.83	HS	0.79	S	N/A	N/A	0.72	S	0.57	MS
Serbia	Simplified	no	no	no	0.58	MS	0.63	MS	N/A	N/A	0.19	U	N/A	N/A
Serbia	Simplified	no	no	no	0.79	S	0.79	S	N/A	N/A	0.94	HS	0.57	MS
Serbia	Simplified	no	no	no	0.79	S	0.79	S	0.21	U	0.78	S	0.71	S
Sri Lanka	Simplified	no	no	no	0.58	MS	0.75	S	0.64	MS	0.86	HS	0.71	S
Sri Lanka	Simplified	no	no	no	0.63	MS	0.75	S	0.75	S	0.90	HS	0.71	S
Sri Lanka	Simplified	no	no	no	0.75	S	0.67	S	0.68	S	0.90	HS	0.71	S
Sri Lanka	Simplified	no	no	no	N/A	N/A	0.50	MS	N/A	N/A	0.56	MS	0.43	MU
Sri Lanka	Simplified	no	no	no	0.67	S	0.63	MS	0.50	MS	0.73	S	0.43	MU
Sri Lanka	Simplified	no	no	no	0.67	S	0.71	S	0.68	S	0.89	HS	0.71	S
Sri Lanka	Simplified	no	no	no	0.46	MU	0.75	S	0.43	MU	0.75	S	0.71	S
Tunisia	Simplified	no	no	no	0.63	MS	0.75	S	0.54	MS	0.76	S	0.43	MU
Turkey	Simplified	yes	yes	no	0.79	S	0.67	S	0.50	MS	0.78	S	0.57	MS
Turkey	Simplified	yes	yes	no	0.50	MS	0.71	S	N/A	N/A	0.61	MS	0.29	U
Turkey	Simplified	yes	yes	no	0.46	MU	0.63	MS	0.50	MS	0.62	MS	0.29	U
Turkey	Simplified	yes	yes	no	0.29	U	0.54	MS	0.43	MU	0.28	U	0.29	U
Turkey	Simplified	yes	yes	no	0.67	S	0.42	MU	0.32	U	0.42	MU	0.14	HU
<b>AVERAGE FOR NON CLUSTER COUNTRIES</b>					<b>0.67</b>	<b>S</b>	<b>0.70</b>	<b>S</b>	<b>0.54</b>	<b>MS</b>	<b>0.70</b>	<b>S</b>	<b>0.57</b>	<b>MS</b>

## Detailed Questionnaire

Section 1 - Contact Information	
Name	
Title	
Roles and responsibilities in the project	
Experience on POPs issues	
Affiliation	
Email address	
Phone	

Section 2. General questions			
When was the reviewed and updated NIP submitted to the SC secretariat?	02/01/2010		
If not yet submitted, when is submission expected?	02/01/2010		
Which are the institutions in charge of NIP review and update?	Input text		
Were all the relevant institutions involved in all the stage of NIP review and update?	Select a score		
Which stakeholders have been involved in the NIP update and review?	Input text		
When was the national coordination mechanism established and which entities integrate it?	Input text		
How the NIP update and the previous NIP contributed to the improvement of environmental legislation for the management of POPs and other chemicals in the country ?	Input text		
Does the NIP update include plans to improve the legislation on POPs and its enforcement (yes/no)	Select a score		

Section 3. Project Relevance			
Has the NIP review and update been relevant for the country development specially with regard to its environmental priorities?	Select a score		
Do short term environmental strategies of the country include POPs ?	Select a score		
If the answer to the previous question is yes, please shortly describe the strategies (max 500 characters)	Input text		
To what extent the target groups (i.e. companies, NGOs, training participants) have been involved in the NIP review and update?	Select a score		
What was their main interest and contribution to the process?	Input text		
Were there significant changes not foreseen during the first NIP or its review and update that would make the NIP less relevant? (i.e. Changing in the policy priorities, regulatory framework etc.)	Yes or no?		

Section 4. Project Effectiveness			
Please specify for each POP regulated by the SC the level of detail of the new inventory or the update of previous inventory achieved.	Level of detail of the inventory	Updated or new inventory?	Has a strategy for this POP substance been developed under the NIP update?
<i>Aldrin</i>	Select an answer	Select an answer	Yes or no?
<i>Dieldrin</i>	Select an answer	Select an answer	Yes or no?
<i>Hexachlorobiphenyl</i>	Select an answer	Select an answer	Yes or no?
<i>Alpha hexachlorocyclohexane</i>	Select an answer	Select an answer	Yes or no?
<i>Mirex</i>	Select an answer	Select an answer	Yes or no?
<i>Endosulfan and related isomers</i>	Select an answer	Select an answer	Yes or no?
<i>Chlordane</i>	Select an answer	Select an answer	Yes or no?
<i>Endrin</i>	Select an answer	Select an answer	Yes or no?
<i>PBDE (Hexabromodiphenyl ether and heptabromodiphenyl ether; Tetrabromodiphenyl ether and pentabromodiphenyl ether)</i>	Select an answer	Select an answer	Yes or no?
<i>Chlordecone</i>	Select an answer	Select an answer	Yes or no?
<i>Heptachlor</i>	Select an answer	Select an answer	Yes or no?
<i>Hexachlorobenzene</i>	Select an answer	Select an answer	Yes or no?
<i>Lindane</i>	Select an answer	Select an answer	Yes or no?
<i>PCBs</i>	Select an answer	Select an answer	Yes or no?
<i>Toxaphene</i>	Select an answer	Select an answer	Yes or no?
<i>DDT</i>	Select an answer	Select an answer	Yes or no?
<i>PFOs</i>	Select an answer	Select an answer	Yes or no?
<i>PCDD/PCDF</i>	Select an answer	Select an answer	Yes or no?
<i>HCB</i>	Select an answer	Select an answer	Yes or no?
<i>Pentachlorobenzene</i>	Select an answer	Select an answer	Yes or no?
<i>Please add any comment if necessary</i>	Input text		
To what extent has the NIP review and update contributed to the reliability of inventories and identification of priorities?	Select a score		
Which of the following changes in the institutions have been generated by the NIP review and update?			
<i>Creation of new structures dedicated to POPs management</i>	Yes or no?		
<i>Dedicated financial budget</i>	Yes or no?		
<i>Creation of de-centralized offices for POPs management</i>	Yes or no?		
<i>Establishment of training centers</i>	Yes or no?		
<i>Capacity building of existing structures</i>	Yes or no?		
<i>Establishment of POPs responsibility to one or more Ministries</i>	Yes or no?		
<i>Establishment of national coordination mechanism for chemicals management?</i>	Yes or no?		
<i>If yes when was it established and which entities integrate it?</i>	Input text		
<i>Others (please provide details)</i>	Input text		
Were there unplanned positive or negative effect of the above changes?	Yes or no?		
Please shortly describe unplanned effects if any	Input text		

Section 5. Project Efficiency			
Which agency did you work for first round of NIPs?	Select an agency		
How would you score the support provided by the agency who did the first NIP?	Select a score		
If UNIDO did not the first NIP, what was the reason to select UNIDO as partner for the second NIP instead of the previous agency?	Input text		
How would you score the support provided by UNIDO NIP on the NIP update?	Select a score		
<b>In your view, is the time frame allocated for the following NIP update activity reasonable?</b>			
<i>Conducting and updating the inventory of POPs</i>	Select an answer	If you like, provide a comment on timeframe	
<i>Completing and endorsing the updated NIP</i>	Select an answer	If you like, provide a comment on timeframe	
In case of delays in the project implementation were its results or cost-effectiveness affected?	Select an answer		
Was the quality of UNIDO inputs and services as planned and timely?	Select a score		
How adequate was the coordination/linkage with other UNIDO and other donors' projects?	Select a score		
Did the coordination produce any synergy effects?	Select a score		
What are the lessons learned from the past NIP projects?	Input text		
How have these turned into Best practices for NIP update activities?	Input text		
What was UNIDO's value added to the identify, in the NIP update projects, strategies aimed at reducing the production, use and release of POPs?			
<i>Experience from similar projects</i>	Select a score		
<i>Technical knowledge of the international experts</i>	Select a score		
<i>Technical knowledge of the national experts</i>	Select a score		
<i>Capacity in NIP update project development</i>	Select a score		
<i>Delivery of training on specific issues</i>	Select a score		
<i>Delivery of guidance documents</i>	Select a score		
<i>Promoting international exchange</i>	Select a score		
<i>Capability to identify and address specific country issues</i>	Select a score		
<i>Others (please specify)</i>	Input text		
What are the key advantages and disadvantages of the different implementation approaches?	Input text		
Are project management and implementation modalities adequate?	Select a score		

Section 6. Sustainability			
Did NIP update activity duly take into account change in GEF and UN agencies policies ?	Yes or no?		
Has your country considered the synergies among the Stockholm, Basel and Rotterdam Convention in developing, reviewing, or updating the NIP?	Yes or no?		
If the answer to 6.3 is yes please provide examples	Input text		
What was the added value of the SAICM process?	Input text		
Have the priority / strategies identified in the updated NIP be properly supported by financial and regulatory mechanisms?	Yes or no?		
Section 7. Gender Issues			
Do women and men have / had the same level of involvement in design and implementation of the project?	Select a score		
Which of the following improvements on gender equality have been generated by the NIP review and update?		# of women recruited / trained / informed	# of men recruited / trained / informed
<i>Gender balance in recruitment of project personnel</i>	Yes or no?	0	0
<i>Gender balance in representation in project committee</i>	Yes or no?	0	0
<i>Training specifically dedicated to women</i>	Yes or no?	0	0
<i>Assessment of different exposure to POPs of women and men</i>	Yes or no?		
<i>Training dedicated to gender based differences of POPs exposure</i>	Yes or no?	0	0
<i>Equal access to information on POPs</i>	Yes or no?	0	0
Do the action plans and priorities developed / under development in the NIP update document envisage a gender perspective?	Yes or no?		

## Annex F: Project outputs by country

Deliverables			Deliverable 1 (Inception workshop report, Task Terms, Workplans, Inventory Training Workshop report)		Deliverable 2 (Preliminary Inventory and National Inventory Validation Workshop)		Deliverable 3 (Priority setting and Validation Workshop report)		Deliverable 4 (Reviewed and Updated National Implementation Plan)		Deliverable 5 (final report endorsement workshop and Final Audited Financial Statement)		Extended completion date
Country	UNIDO (PAD issuance)	Contract entry into effect	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	
Algeria	31/08/2012	Dec-13	Feb-14	Mar-14	Oct-14		Oct-14		Dec-14		Dec-14		
Armenia (*)	28/09/2012												30-Apr-15
Bolivia (*)	30/05/2013												31-Dec-15
Bosnia Herzegovina	16/08/2012	Dec-12	Feb-13	Apr-13	Jul-13	Mar-14	Sep-13	May-14	Jan-14		Feb-14		
Burkina Faso	18/02/2013	May-13	Jul-13	Oct-13	Mar-14		Mar-14		May-14		May-14		30-Jun-15
Cape Verde	01/05/2014	Jul-14	Dec-14		Feb-15		Mar-15		Jul-15		Jul-15		31-Dec-15
CAR	09/05/2013	Sep-13	Jan-14		Jul-14		Jul-14		Sep-14		Sep-14		31-Dec-15
Costa Rica	08/03/2013	Sep-13		Nov-13		Sep-14		Oct-14					30-Apr-15
Cote d'Ivoire	02/09/2013	Jan-14	Mar-14	Jun-14	Nov-14		Nov-14		Jan-15		Jan-15		30-Jun-15
DRC	05/03/2013	Jul-13	Aug-13	Dec-13	Apr-14		Apr-14		Jul-14		Jul-14		30-Jun-15
Ecuador (*)	18/02/2013												31-Dec-15
Eritrea	14/04/2014												31-Dec-15

Ethiopia	08/03/2013	Jul-13	Sep-13	May-14	Feb-14		Mar-14		May-14		May-14		31-Oct-15
Guatemala (*)	21/02/2014												31-Dec-15
Guinea	21/03/2013	Jun-13	Aug-13	Apr-14	Apr-14		Apr-14		Jun-14		Jun-14		30-Jun-15
Guinea-Bissau	20/11/2013	Dec-13	Feb-14		Jul-14		Aug-14		Dec-14		Dec-14		31-Dec-15
Honduras	18/02/2013	Jun-13		Feb-14									30-Apr-15
Indonesia	18/10/2012	Mar-13	Jun-13			Oct-13	Nov-13	Apr-14	Jan-14	Sep-14	Jan-14		30-Apr-15
Jordan	04/03/2013	May-13	Jul-13	Nov-13	Jan-14		Jan-14		Mar-14		May-14		30-Jun-15
Laos	22/04/2013	Jun-13	Aug-13	Oct-13	Jan-14		Feb-14		Jun-14		Jun-14		31-Mar-15
Lesotho	15/05/2013	Nov-13	Jan-14	Oct-14	Jul-14		Sep-14		Nov-14		Nov-14		31-Oct-15
Liberia	16/05/2013	Jul-13	Sep-13	Nov-13	mar-14		Mar-14		May-14		Jul-14		30-Jun-15
			Deliverable 1 (Inception workshop report, Task Terms, Workplans, Inventory Training Workshop report)		Deliverable 2 (Preliminary Inventory and National Inventory Validation Workshop)		Deliverable 3 (Priority setting and Validation Workshop report)		Deliverable 4 (Reviewed and Updated National Implementation Plan)		Deliverable 5 (final report endorsement workshop and Final Audited Financial Statement)		
Country	UNIDO (PAD issuance)	Contract entry into effect	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Date of delivery	Extended completion date
Macedonia	23/05/2012	Jul-12	Sep-12	Oct-12	May-13	Oct-13	May-13	May-13	Jul-13	Apr-14	Jul-13	Jan 14	
Maldives	05/03/2013	Jul-13	Dec-13		Jun-14		Jan-15		Feb-15		Jul-15		31-Dec-15
Mali	01/03/20	Jul-14	Aug-		apr-15		Apr-15		Jul-15		Jul-15		31-Dec-

	14		14									15
Mexico (*)	22/0 4/20 13											31-Dec- 15
Mongolia (**)	30/1 0/20 12			Dec-12				apr-14			Jun-14	31-mar- 15
Mozambique	21/0 8/20 13	Jan-14	mar- 14	Oct-14	Sep-14		Sep-14		Jan-15		Jan-15	31-Oct- 15
Myanmar (*)	11/0 4/20 13											
Nepal	14/0 3/20 13	Sep-13	nov- 13		May-14		May-14		Sep-14		Sep- 14	30-Jun- 15
Nicaragua (*)	13/1 1/20 13											31-Dec- 15
Niger	28/0 1/20 14	apr-14	Jun- 14	Aug-14	feb-15		feb-15		apr-15		apr-15	30-Jun- 15
Nigeria	08/0 3/20 13	Jan-14	mar- 14	Jun-14	Aug-14		Sep-14		Jan-15		Jan-15	30-Jun- 15
Peru (*)	12/0 9/20 13											31-Dec- 15
Philippines	27/0 7/20 12	Oct-12	nov- 12		Aug-13	Jul-13	Aug-13	Dec-13	Oct-13	Jul-14	Oct- 13	
Republic of Congo	02/0 9/20 13	Jan-14	mar- 14	May- 14	nov-14		nov-14		Jan-15		Jan-15	30-Jun- 15
Rwanda	10/0 5/20 13	Jun-13	Aug- 13	Dec-13	feb-14		feb-14		May-14		Jun-14	30-Jun- 15
Sao Tome and Principe	18/0 2/20 13	Jun-14	Oct- 14		Jan-15		apr-15		Jun-15		Jun-15	31-Dec- 15
Senegal	06/0 9/20	nov-13	Jan- 14	apr-13	Sep-14		Sep-14		nov-14		nov- 14	30-Jun- 15

		13												
Serbia	31/08/2012	Dec-12	feb-13	May-14									30-Jun-15	
Seychelles	22/04/2013	Jun-13	Jul-13	Oct-13	feb-14		mar-14		apr-14		apr-14		30-apr-15	
SriLanka	04/06/2013	Jan-14	mar-14	Jun-14	Sep-14		Sep-14		Jan-15		Jan-15			
Sudan	09/10/2012	Dec-12	feb-13	May-13	Aug-13	May-13	Jul-13	mar-14	Oct-13		Oct-13			
Swaziland	08/03/2013	apr-13	May-13	Jun-13	Dec-13	mar-14	Jan-14	Sep-14	feb-14		apr-14		30-Jun-15	
Tajikistan	14/03/2013	Jun-13	Aug-13	Dec-13	apr-14	Jun-14	apr-14		Jun-14		Jun-14		30-Jun-15	
Tanzania	17/12/2012	Jun-13	Jul-13	feb-14	Jan-14		feb-14		Jun-14		Jun-14		31-Aug-15	
				Deliverable 1 (Inception workshop report, Task Terms, Workplans, Inventory Training Workshop report)			Deliverable 2 (Preliminary Inventory and National Inventory Validation Workshop)		Deliverable 3 (Priority setting and Validation Workshop report)		Deliverable 4 (Reviewed and Updated National Implementation Plan)		Deliverable 5 (final report endorsement workshop and Final Audited Financial Statement)	
Country	UNIDO (PAD Issuance)	Contract entry into effect	Deadline	Date of delivery	Deadline	Date of delivery	Deadline	Country	UNIDO (PAD Issuance)	Contract entry into effect	Deadline	Date of delivery	Deadline	
Togo	01/10/2012	Dec-12	feb-13	Sep-13	Oct-13		Oct-13		Dec-13		Dec-13		30-Jun-15	
Tunisia	10/05/2013	Sep-13	nov-13	May-14									31-Dec-15	
Turkey	19/07/2012	Oct-12	Dec-12	Dec-12	Oct-13	Sep-13	Aug-13	Nov-13	Oct-13	Feb-14	Oct-13	Feb-14		
Uganda	23/01/2014	May-14	Jul-14	Aug-14	Jan-15		Jan-15		Mar-15		May-15		31-Oct-	

													15
Zambia	16/05/2013	Jun-13	Jul-13	Aug-13	Feb-14		Feb-14		Apr-14		Jun-14		30-Jun-15

(\*) The project has not yet started for these countries

(\*\*) Mongolia submitted the endorsement workshop report but the NIP update is still under review.

## Annex G: Findings and recommendations on gender

### Cluster evaluation of UNIDO's Enabling Activities to review and update the National Implementation Plans (NIPs) for the Stockholm Convention (SC) on persistent organic pollutants (POPs)

#### Findings and recommendations on the integration of gender

To examine the extent that gender was integrated in UNIDO's Enabling Activities for NIPs Updates and Review, a survey questionnaire was prepared and distributed to the 51 countries. In total, there were 60 respondents from 19 countries.

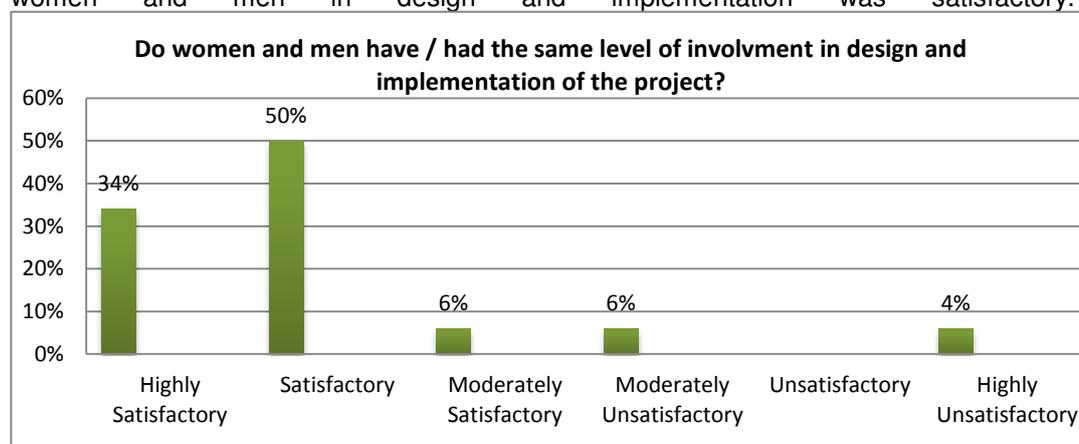
The survey questionnaire, as provided in the table below, included qualitative questions pertaining to the mainstreaming of gender in the project management and the technical assistance activities of UNIDO NIPs projects.

Survey Questionnaire - Section 7: Gender Issues
Q1: Do women and men have the same level of involvement in design and implementation of the project?
Q2: Which of the following improvements on gender equality have been generated by the NIP review and update? <ul style="list-style-type: none"> <li>• Gender balance in representation in project committee</li> <li>• Gender balance in recruitment of project personnel</li> <li>• Equal access to information on POPs</li> <li>• Training specifically dedicated to women</li> <li>• Assessment of different exposure to POPs of women and men</li> <li>• Training dedicated to gender based differences of POPs exposure</li> </ul>
Q3: Do the action plans and priorities developed/under development in the NIP update document envisage a gender perspective?

The following summarizes the key findings on the integration of gender dimensions in past projects and provides actionable recommendations to enhance the integration of gender in future projects.

#### Level of involvement of women and men in design and implementation

Based on the data collected, 84% of the respondents felt the level of involvement of women and men in design and implementation was satisfactory.



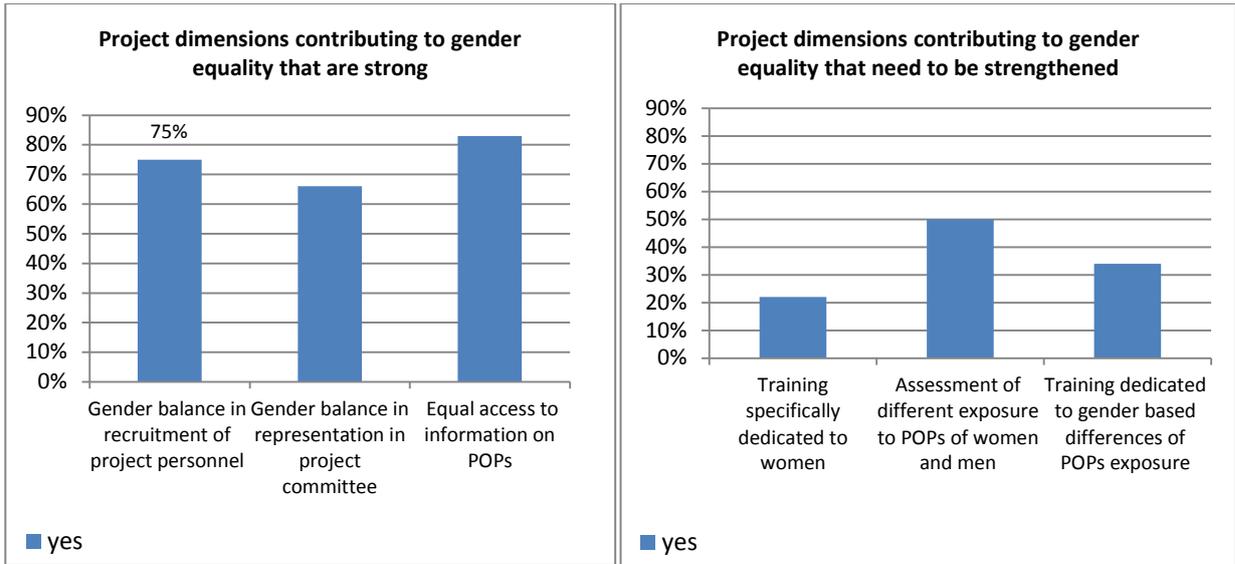
To further improve the equal participation of women and men in project design and implementation, there are several gender-responsive recommendations that should be undertaken, including consulting with women/gender groups, associations or stakeholders during project design and raising awareness among women on the potential impacts of POPs. Additionally, projects should engage with gender focal points in-country, such as ministries or civil society organizations, to act as project counterparts or gender advisors in project implementation. Engaging local gender focal points would also help to strengthen the capacity of the project implementation team to ensure gender-responsive project monitoring and implementation.

#### *NIP project dimensions that contribute to gender equality*

Based on the data collected, respondents identified three pronounced dimensions of NIPs projects that significantly contribute to gender equality. These include the gender balance in representation in project committee, the gender balance in recruitment of project personnel, and the equal access among women and men to information on POPs. While there was a high level of agreement among respondents on the achievement of these project dimensions, some suggested actions for further improvement can be made.

To further improve gender balance in the recruitment of project personnel or in the representation in project committee, it is recommended that job descriptions for staff members are developed so that women are encouraged to apply, the gender sensitivity and/or respect for diversity competency is enhanced, equal opportunity is promoted. While achieving gender balance is a goal, it does not necessarily guarantee the gender competence of the project team. In this, awareness-raising on gender impacts and basic training on gender mainstreaming should be part of project activities.

To further improve equal access among women and men to information on POPs, there are several gender-responsive recommendations that should be undertaken, including outreach and advocacy activities that target women's networks. Specifically, NIPs projects should ensure outreach to local women/gender groups and associations, or gender focal points in ministries and other governmental offices. Projects should also undertake awareness-building and outreach activities that address the different needs of women and men. For example, activities can include the development of communication materials that utilize photos to address low-literacy levels, or awareness-building workshops that are scheduled at a convenient time of day to accommodate any household or childcare duties of women and men. Lastly, there should be actions made to build and strengthen women's networks in-country to encourage the information sharing on POPs.



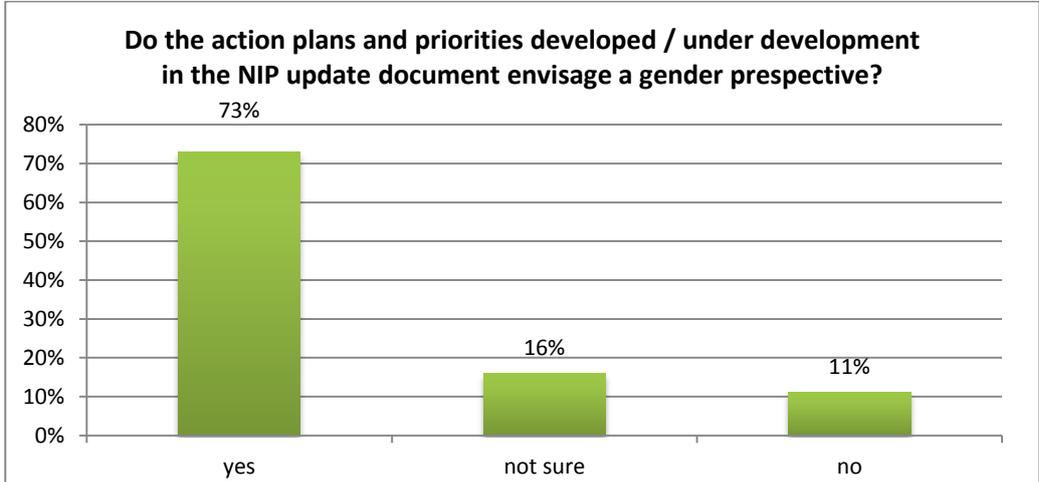
Survey respondents also identified three project dimensions contributing to gender equality that need to be strengthened. These areas of improvement include trainings specifically dedicated to women, the assessment of different exposure to POPs of women and men, and trainings dedicated to gender based differences of POPs exposure.

To improve the assessment of the exposure to POPs, assessments should take into account women and men who deal with and handle new POPs chemicals separately. To this end, all NIP projects should undertake a compulsory gender analysis and collect sex-disaggregated data.

To improve trainings so that they have at least a module specifically for women or a module specifically on gender-based differences of POPs exposure, there are several gender-responsive recommendations that should be undertaken. Firstly, gender-responsive budgeting should be integrated into NIP projects where specific funds are allocated to gender related trainings. Moreover, there should be some attention to partnering and coordinating with local women/gender groups, associations, networks to help design or co-conduct trainings. The consultation with local women/gender groups is essential as there are many gender specific restrictions that may hamper the participation of women in trainings, such as security or distance challenges, childcare or household responsibilities, or education and literacy levels that they could assist in addressing. Lastly, NIPs projects should also integrate specific accountability mechanisms to enhance the gender dimensions of trainings such as gender-responsive outputs or indicators.

NIP project results that contribute to gender equality

Based on the data collected, 73% of respondents agreed that action plans and priorities developed and/or under development in the NIP update document envisaged a gender perspective.



To further enhance the integration of a gender perspective in action plans and priorities developed or under development in NIP update documents, there are several gender-responsive recommendations that should be undertaken. Specifically, all assessments of social-economic implications of on new POPs use and reduction should be ensured to collect and analyze data on women and men separately. Moreover, women and men should have equal representation and participation in decision-making and policy formulation processes to ensure their needs and priorities are fully addressed.

## Annex H: Evaluation grid

To undertake the qualitative assessment of the project outputs for the cluster countries an evaluation grid was developed as presented in Table 1 below and introduced under sub-section 1.3.5. Since Mozambique has just started the implementation of the project and as of 30 November 2014 had not yet submitted any output it has not been included in the qualitative assessment.

The main purpose of the qualitative assessment is to determine the effectiveness of the activity carried out or being carried out, no scores were attributed to activities which were not completed, even if this was attributable to delay in project implementation, as that was considered part of the assessment of the project efficiency. Therefore the technical rating concern only the rating of the activities carried out or under implementation.

The results of evaluation grid were both textual and numeric and are presented, for each cluster country in alphabetic order, under Tables 2 to 10 below. The summary of the evaluation, containing the average score for each project component for country, is reported in Table 11.

### Results

The average score for all the components and for all the countries emerging from the technical analysis of the documents is 3.7 (Satisfactory). The differences from component to component do not seem very significant. For some countries, however, the better rating was obtained on the POPs inventory activities which reflects the fact that the inventories benefitted from both the support from international experts (which, based on the interviews, were perceived as one of the most valuable component of the UNIDO assistance) and the existence of practical guidance documents (the UNEP toolkit and the UNEP/UNIDO/UNITAR guidance on new POPs). All the inventory reports for U-POPs and industrial new POPs are based on these guidance documents, whilst in case of the other inventories (PCBs, pesticides) the approaches are not standardized and range from very generic inventories to detailed inventory carried out with the important contribution of sampling and analysis (PCBs) or site visits (pesticides).

Besides the rating, it seems that the purpose of the inventories is rather to quantify the amount of POPs possibly existing in each countries than to identify and track the sources of POPs. Indeed this also reflects a shortcoming of existing guidance documents. Obviously, a complete tracing of the POPs stockpile and source is not possible with the project resources; however, at least a pilot activity - like the one carried out in few cases on the identification and labelling of PCB-contaminated equipment - may have been useful for the post-NIP management of POPs. A comparison among countries is not considered significant and indeed could be misleading, as the countries are at different stages of implementation of the EA NIP update projects and the evaluation is necessarily limited to the available documents

**Table 1: Evaluation Grid**

Evaluated item	Evaluation criteria
1) Inception reports	Whether the expected deliverable have been made available . Whether the structure for conducting the NIP has been established; whether relevant stakeholders have been invited and proper communication (bi-directional) with interested stakeholders has been achieved; whether the task for all the project partners (management and technical) have been clearly assigned; whether an inception report has been submitted.
1.1) Training	Whether a training report has been submitted. Based on the TORs, training will include procedures for gathering new POPs related information; information on how to (i) conduct new POPs inventories of trade, use, stocks and contaminated sites according to new POPs guidelines, (ii) assess the national institutional and policy framework, (iii) assess the current national level of public awareness on new POPs, (iv) assess socio-economic implications of new POPs utilization, elimination and reduction.
1.2) Planning	Whether a work plan has been submitted containing timeframe, tasks and assignment of responsibilities including ToR for the task teams
2) Preliminary inventory and national inventory validation workshop.	Verify if the preliminary inventory reports was made available. Verify if the inventory validation workshop was conducted with the participation of all relevant stakeholders, including the PCU and working groups (when applicable).
2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)	Inventories of original 12 POPs, check if the inventory has been properly updated (with main reference to all POPs pesticides, PCBs and U-POPs).
2.2) PCBs	For PCBs: assess whether the previous inventory also included identification of PCB contaminated equipment; if the equipment identified have been treated, disposed or lost; if the previous inventory was exhaustive or limited to few PCB owners; if the new inventory updated the status of the previously identified PCB equipment (either online, stored, treated, disposed or lost); if the new inventory extended the number of equipment / PCB owners surveyed; if the new inventory is based in survey (i.e. examination of equipment labels, analysis) or simple statistical considerations; if the new inventory allows for the traceability of PCB contaminated equipment.
2.3) PCDD/F and other U-POPs	For U-POPs: assess whether for the new inventory, proxy data (consumption of raw material of fuels, production of goods, etc. ) have been updated based on official statistics; assess whether the release of U-POPs has been updated based on the most recent UNEP toolkit available at that time; verify whether emission factor have been cross-checked by means of sampling and analysis of the stack of industrial plants or by using different proxy data.
2.4) Pesticides	Assess whether the inventory cover specifically pesticidal POPs or it is limited to obsolete pesticides. Assess whether pesticide stockpiles have been properly identified and whether analysis have been carried out
2.5) PFOS	Assess whether the inventory is compliant with the UNEP guidance, and if enough information are reported to verify the quality of the data. Verify if data on questionnaires surveys are available at least as a separate annex
2.4) POPs PBDEs	Assess whether the inventory is compliant with the UNEP guidance, and if enough information are reported to verify the quality of the data. Verify if data on questionnaires surveys are available at least as a separate annex
3) Priority settings	Verify whether priority setting reports and workshop report were made available. Check whether the priority setting was based on the updated inventory, including expected uncertainty of inventory data, and on other objectively verifiable indications (i.e. monitoring reports, presence of know sources of POPs and U-POPs, etc.)
4) Quality of the activities related to NIP Updated and reviewed document	
4.1) Status of NIP update document	Whether NIP update document or its content is fully or partially available, its endorsement and submission to the SC.
4.1) Inventory	See 2) - Preliminary inventory
4.2) Action plan	Do action plan include clear objective, budget needs and timeframe? Are they sustained through the establishment of regulatory measures and allocated resources? Do they cover all POPs? Have been original action plan reassessed and the achieved outcome against the planned outcomed evaluated?
4.3) Gender issues	Is a specific summary section on gender issue included in the NIP document? Is the gender issue considered throughout the NIP, and does the NIP provide specific recommendation for streamlining gender consideration into action plans?
4.4) Socio economic issues	Is a specific summary section on socio-economic issues included in the NIP document? Are socio-economic aspects assessed for each specific POPs or POPs category throughout the NIP, and does the NIP provide specific recommendation for addressing socio-economic issues into action plans?

**Table 2: Qualitative assessment for Costa Rica**

Evaluated item	Costa Rica	Rating
<b>1) Inception reports</b>	Did not provide a report but rather a summary - with the following attachments: Presentations; Agenda; List of attendants (36 which included the PM)	3,5
<b>1.1) Training</b>	Did not provide a report but rather a summary - with the following attachments: Presentations with the WP from each national consultant; List of attendants	3,5
<b>1.2) Planning</b>	A detailed workplan (xls file) with time frame has been made available. However it is not clear whether this is the official final version. According to information presented by the Government counterpart (email 11/Nov/214) the workplan has been officially submitted to UNIDO and accepted by the PM on 8 August 2014.	2
<b>2) Preliminary inventory and national inventory validation workshop.</b>	Preliminary inventory reports, mostly as draft working documents, have been made available to the Evaluation team. PCB was not found. Inventories validation workshops held for each inventory	3
<b>2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)</b>	A draft of U-POPs inventory has been made available. Pesticide inventory updated although no information on the existence of stockpiles is contained therein. PCB inventory is missing.	3
<b>2.2) PCBs</b>	The inventory of PCB was not found	1
<b>2.3) PCDD/F and other U-POPs</b>	Not submitted yet	
<b>2.4) Pesticides</b>	13 sites were prioritized for site visits. Consultation with the State Pesticide Service and with Customs. No stockpile of obsolete pesticides or of POPs pesticides were identified. Data on the import and export of Endosulphan and Myrex were provided.	3
<b>2.5) PFOS</b>	Limited information on PFOs were gathered by means of consultation with the Ministry of health and industrial associations. For PFOs it was not possible to gather quantitative information of the substances in industrial products.	3
<b>2.4) POPS PBDEs</b>	The inventory has been carried out based on the UNEP guidance on PBDEs. Estimation and statistics on imported electronic equipment were used, as from consultation with official data for limited number of enterprises and extrapolation to all the enterprises registered. CRT from private consumers were not considered. PBDE from vehicles has been estimated based on the registration of vehicles. AA12	4
<b>3) Priority settings</b>	Three high level meetings took place for priority setting and validation on industrial POPs, Pesticides and U-POPs.	4
<b>4) Quality of the activities related to NIP Updated and reviewed document</b>		2.6
<b>4.1) Status of NIP update document</b>	NIP update and review document not available yet	2.0
<b>4.1) Inventory</b>	Preliminary inventory report for PFOs, PBDEs and pesticides submitted	3.0
<b>4.2) Action plan</b>	Worksheet containing indicators and result framework for each category of POPs have been made available. No budgetary information included in the action plans	3
<b>4.3) Gender issues</b>	No reference to gender issues found in the outputs of the project	1
<b>4.4) Socio economic issues</b>	A detailed socio-economic assessment for industrial POPs (basically PBDEs) has been carried out. The assessment mainly identifies and assess the sanitary impact of the substances, and perform a cost / benefit analysis in term of monetary benefit that can be achieved for each dollar paid for PBDE elimination.	4

**Table 3: Qualitative assessment for Honduras**

Evaluated item	Honduras	Rating
<b>1) Inception reports</b>	A general report of technical and administrative implementation describes the activities undertaken from June 2013 to July 2014 which was then updated. It contains the participants of the various workshops but no specific reports have been produced. Inception workshop for high-level commitment delivered in February 2014 but no report available	
<b>1.1) Training</b>	Not submitted	
<b>1.2) Planning</b>	A general report of technical and administrative implementation has been submitted and revised - the last version covers the period from June 2014 to May 2015	<b>4</b>
<b>2) Preliminary inventory and national inventory validation workshop</b>	Inventory reports provided for all SC substance. Validation workshop not conducted (continuous activity)	<b>4</b>
<b>2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)</b>	Separate inventory reports were made available for: Pesticides (old and new POPs), Industrial chemicals (PCBs, PFOs, BBDEs, PBB). Old Pops inventory have been updated.	<b>4</b>
<b>2.2) PCBs</b>	The summary information reported on the updated NIP do not allow to understand whether the equipment found contaminated by PCB was also identified (labelled and inventorised). However the updated inventory contain information on the actual use and origin of contaminated equipment. The new inventory extended the number of PCB equipment surveyed and although not specified it seems that at least screening analysis were carried out for the 1178 equipment selected.	<b>4</b>
<b>2.3) PCDD/F and other U-POPs</b>	The Toolkit 2013 was adopted. Proxy data for the calculation of emission releases were updated. New emission factor as from the new version of the Toolkit were adopted. Results from the previous inventory (2005) compared with the new results demonstrating a substantial shift from release of PCDD/F in solid residue to air. No measurement of PCDD/F in significant sources or at industrial plant stacks reported for comparison with theoretical emission values.	<b>4</b>
<b>2.4) Pesticides</b>	The inventory is tailored specifically to POPs substances. It is not an exhaustive inventory similarly to most of POPs pesticides inventories, however sites have been selected on the basis of probability of presence of the new POPs. 36 sites have been visited over 50 suspected. The inventory distinguishes correctly between POPs, POPs contaminated and non-POPs obsolete pesticides. Due to difficulties to access information, the inventory of POPs pesticides is considered by the authors not containing sufficient data, but useful for addressing further studies on the situation of pesticides in the country.	<b>4</b>
<b>2.5) PFOs</b>	The PFOs inventory was carried out on the basis of analysis of custom information, interviews and questionnaires. PFOs containing FFF were identified and stockpiles quantified. Textile products containing PFO were identified as imported mostly from China but not quantified. FFF containing PFOs were identified and quantified in an amount of around 53 tons (11025 gal). Similarly to the PFOs inventory in other countries, the study is not considered as containing enough information and the inventory report recommends to perform exhaustive information.	<b>4</b>
<b>2.4) POPS PBDEs</b>	The inventory is based on the UNEP guidance for PBDEs. It is subdivided in an inventory related to the generation of PBDEs from the electric sector and a second inventory related to the automotive sector. The inventory is based on official statistical importation data and / or estimation based on proxy factor (i.e. size of population for estimating number and turnover of Catode Ray Tube television (CRT-TV). Inventory of PBDEs coming from the automotive sector is based on statistics related to the registration of vehicles. There are no information on the amount of PBDEs released in waste from the ELV (End of Life Vehicles). A PBDEs sensor was bought, however it was not used for carrying out PBDEs analysis for the inventory.	<b>4</b>
<b>3) Priority settings</b>	Not available (continuous validation workshop)	<b>3</b>
<b>4) Quality of the activities related to NIP Updated and reviewed document</b>		<b>3.2</b>
<b>4.1) Status of NIP update document</b>	The final Nip Update and review document is not yet available. However, most of the content for the NIP update and review document are ready.	<b>3</b>
<b>4.1) Inventory</b>	Inventory reports for all the substances listed under the SC provided as separate final documents in PDF.	<b>4</b>
<b>4.2) Action plan</b>	Inventories contain recommendations on the containment / elimination f POPs but not action plans with clear objective, budget and timeframe. Strategic ation plans were developed instead for the management of industrial POPs and U-	<b>3</b>

	POPs.	
<b>4.3) Gender issues</b>	No reference to gender issues found in the outputs of the project	<b>1</b>
<b>4.4) Socio economic issues</b>	A specific socio-economic study has been developed. The study assess the main socio-economic impacts related with the management of POPs, identifies key stakeholders, key interests of each stakeholder, positive and negative impacts of POPs management. It also provides hints on the available technologies for the management of POPs.	<b>5</b>

**Table 4: Qualitative assessment for Jordan**

Evaluated item	Jordan	Rating
<b>1) Inception reports</b>	An inception workshop report was made available. The inception report lists participants and outcomes. Relevant stakeholders and the media participated in the workshop. PPT were also made available. The report makes reference to the workplans for the NIP updated related activities, which include working groups and timeframes.	4
<b>1.1) Training</b>	Training report was made available as part of the inception report. The inception workshop was basically a training workshop, and all the presentations were made available.	4
<b>1.2) Planning</b>	Workplans concerning PBDE, PCB, Pesticides, PFOS, and UPOPs were attached to the IR as separate documents. Workplan include timeframe, task and working groups	4
<b>2) Preliminary inventory and national inventory validation workshop.</b>	Not available yet	N/A
<b>2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)</b>	Not available yet	N/A
<b>2.2) PCBs</b>	Not available yet	N/A
<b>2.3) PCDD/F and other U-POPs</b>	Not available yet	N/A
<b>2.4) Pesticides</b>	Not available yet	N/A
<b>2.5) PFOS</b>	Not available yet	N/A
<b>2.4) POPS PBDEs</b>	Not available yet	N/A
<b>3) Priority settings</b>	Not available yet	N/A
<b>4) Quality of the activities related to NIP Updated and reviewed document</b>	Not available yet	N/A
<b>4.1) Status of NIP update document</b>	Not available yet	N/A
<b>4.1) Inventory</b>	Not available yet	N/A
<b>4.2) Action plan</b>	Not available yet	N/A
<b>4.3) Gender issues</b>	Not available yet	N/A
<b>4.4) Socio economic issues</b>	N/A	N/A

**Table 5: Qualitative assessment for Macedonia**

Evaluated item	Macedonia	Rating
1) Inception reports	The inception report was made formally available. The inception report contains list of participants, ppts and a decision concerning the re-establishment of the National Steering Committee.	4
1.1) Training	Training report was submitted as part of the inception report. It concerned mainly the issue of inventory of POPs in E-waste.	4
1.2) Planning	Work plans were not made available. From the inception report is however evident that a workplan was developed and discussed for all the inventory activities.	4
2) Preliminary inventory and national inventory validation workshop.	A report containing preliminary inventories for all the substances listed under the SC was provided.	4 .3
2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)	The preliminary inventory report submitted by Macedonia contains an update of some of the original POPs, namely PCDD/F and PCBs. The preliminary inventory report also contains an updated status of the action plan envisaged by the original NIP.	4
2.2) PCBs	The preliminary inventory report contains an update of the PCB inventory. It also enumerates strengths and weakness of the PCB inventory. The information reported in the NIP update allows for a better understanding of the situation on PCBs, however does not contain information on how PCBs were / are currently managed. A database for PCBs contaminated equipment has been developed.	5
2.3) PCDD/F and other U-POPs	The preliminary inventory report contains an update of the U-POPs inventory based on the most recent UNEP toolkit available at the time and updated statistical data cross-checked by means of questionnaire surveys. The inventory report also includes outcomes related to the QA/QC activities.	5
2.4) Pesticides	The inventory reports cover specifically the issue of new POPs pesticides, and includes regulatory information related to chlorinated pesticides. It also includes information on Lindane contaminated sites. The information is not detailed but however useful to understand the country situation.	4
2.5) PFOS	The inventory report is based on the careful application of the UNEP guidance methodology on PFOs, including design and implementation questionnaire surveys. The information gathered was limited mainly due to the limited number of respondents (8 over 60) who returned answered questionnaires.	4
2.4) POPs PBDEs	The inventory of POPs PBDEs is fully compliant with the UNEP guidance and was performed at Tier 1 and Tier 2 level. The POPs PBDEs cover both WEEE and ELV sources as main sources of POPs in waste material.	4
3) Priority settings	The priority setting workshop report was made available. It contains presentation by the national experts, the participant list and a preliminary list of priorities and priority criteria in tabular format.	4
4) Quality of the activities related to NIP Updated and reviewed document		4 .1
4.1) Status of NIP update document	The final Nip Update and review document made available but not yet submitted to the SC.	4 .0
4.1) Inventory	The NIP update report contains the consolidated and revised POPs inventory already submitted as preliminary inventory report.	4 .3
4.2) Action plan	The NIP update includes a detailed action plans, arranged by theme. For each theme, a tabular action plan arranged in action, action type, period of implementation, institution in charge, budget, expected results, indicators is provided. The following action plans are included in the NIP update: raising awareness (2 action plans); Identification of products and waste containing POPs; establishment of control measure for old vehicles and equipment containing POPs; collection centres, treatment and processing of ELV; establishment of collection points for WEEE; Cleanup of POPs contaminated sites; Implementing good agricultural practices; Eco-bio monitoring; establishment of national POPs analytical laboratories; Establishment of information system on POPs;	5
4.3) Gender issues	A short chapter on gender mainstreaming is included in the NIP update report	3
4.4) Socio economic issues	A qualitative socio economic analysis has been carried out for PCDD/F and PBDEs and PFOs. Main socio-economic impact of these POPs and of the countermeasures envisaged to reduce these POPs sources are described.	4

**Table 6: Qualitative assessment for Mongolia**

Evaluated item	Mongolia	Rating
<b>1) Inception reports</b>	A simple inception report draft has been made available. It contains a short background section, the agenda for the workshop and the list of participants.	3
<b>1.1) Training</b>	See above	3
<b>1.2) Planning</b>	See above	3
<b>2) Preliminary inventory and national inventory validation workshop.</b>	The inventory validation workshop and the priority workshop were held simultaneously on April 2014. The inventory workshop section discussed the status of the "new" and "old" POPs inventory, with specific sections on industrial chemicals (PFOs and PBDEs) and PCDD/F.	3
<b>2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)</b>	Updated report on PCDD/F inventory and pesticide inventory made available to the evaluation team.	4
<b>2.2) PCBs</b>	Not made available	1
<b>2.3) PCDD/F and other U-POPs</b>	The PCDD/F inventory was carried out, using the latest UNEP toolkit available and statistics from the year 2012. Of concern is the great difference compared to the previous PCDD/F inventory, and the very low value for open burning.	3
<b>2.4) Pesticides</b>	The inventory covers specifically POPs pesticides and provides information on HCH, Aldrin, Chlordane, Dieldrin, Heptachlor, DDT. Some pesticide stockpiles identified.	4
<b>2.5) PFOS</b>	not available	1
<b>2.4) POPS PBDEs</b>	The inventory was carried out in compliance with UNEP guidance, with the additional help of expedite analysis by a portable analyzer confirmed by laboratory analysis. A wide questionnaire survey was also carried out, with answers received from 2340 households, 908 institutional consumers and 379 corporate consumers. the inventory covered both the E-waste and the ELV sectors. Estimates of POPs PBDEs by sector were provided, together with a detailed analysis of the main difficulties and possible solution for a better inventory.	5
<b>3) Priority settings</b>	The inventory validation workshop and the priority workshop were held simultaneously on April 2014. The inventory workshop section discussed the status of the "new" and "old" POPs inventory, with specific sections on industrial chemicals (PFOs and PBDEs) and PCDD/F.	3
<b>4) Quality of the activities related to NIP Updated and reviewed document</b>		3.0
<b>4.1) Status of NIP update document</b>	Endorsment workshop held. However the final NIP update and review document was not made available for evaluation.	3.0
<b>4.1) Inventory</b>	Based on the received information, inventory were carried out for Pesticides, POPS PBDEs, PCDD/F. In the agenda for the endorsment workshop a PCB inventory section was envisaged, however the PCB inventory report was not made available	3.0
<b>4.2) Action plan</b>		
<b>4.3) Gender issues</b>		
<b>4.4) Socio economic issues</b>	From the agenda of the endorsement workshop result that a socio-economic assessment was developed. However the socio-economic assessment report was not made available to the evaluation team.	3

**Table 7: Qualitative assessment for Philippines**

Evaluated item	Philippines	Rating
<b>General note</b>	Expected deliverable not made available to the consultant. As the NIP update document was made available, it is however assumed that the inception report was submitted.	
<b>1) Inception reports</b>	Material on inception workshop made available on the website of the De La Salle University ( <a href="http://popstoolkit.dlsu.edu.ph/Repository.aspx?page=invproprog">http://popstoolkit.dlsu.edu.ph/Repository.aspx?page=invproprog</a> ) The workshop was very practical in its structure as information on how to carry out inventories, including detailed explanation of survey forms was provided. presentation on NIP update requirements, legal status of POPs in the Philippine, new POPs were provided	
<b>1.1) Training</b>	Detailed Workplans for all the NIP update components made available under the website of the DLSU university	
<b>1.2) Planning</b>	Inventories were carried out and reported in the NIP updated document. Several inventory validation workshops were conducted in the country and posted on the DLSU website. The material for the workshop as well as the minutes were provided in detail. The inventory validation workshop report was drafted and made available for the evaluation.	
<b>2) Preliminary inventory and national inventory validation workshop.</b>	The inventory of the original 12 POPs was revised and updated. Main issues identified and solution and actions proposed in the action plans	
<b>2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)</b>	The 2006 inventory was only based on survey / projection and was unable to identify and secure any PCB equipment for future disposal. This represented an issue also for the non combustion disposal facility established under the UNIDO project. The new data are based on data sent by industries in compliance with the CCO on PCB and identified around 250 tons of equipment containing PCB. The inventory is considered incomplete and is currently under validation however is an improvement in comparison of the previous inventory	
<b>2.2) PCBs</b>	The updated inventory only report the final figures, however it does not report details on the proxy data (i.e. industrial production, consumption of raw materials, waste production etc. ) used for the estimation, as well as any information related to the assumption made under the UNEP toolkit to calculate U-POPs. Therefore it is not possible to estimate the reliability of the estimates. As other U-POPs are estimated as a ratio of PCDD/F emission, this shortcoming applies to all U-POPs	
<b>2.3) PCDD/F and other U-POPs</b>	The quantity of POPs pesticides inventorised in the first NIP was unreasonably low. The new NIP listed one known stockpile of Endosulphan (10 t) and proved the still continuing use of Lindane and Endosulphan and marketing of Endosulphan, making evident a serious problem that need to be addressed. There are however no clear indication that NIP contributed at securing the Endosulphan stockpile for future disposal. A good review of available environmental monitoring data of pesticide was carried out.	
<b>2.4) Pesticides</b>	The NIP correctly identified the shortcoming of the UNEP/UNIDO toolkits for undertaking a detailed inventory, and made an estimation of the amount of PFOS imported in articles as well as the identification of industries using PFOS and PFOE chemicals. Data on imported articles are provided. No information on the questionnaire surveys are reported. Ways for improving the estimation of PFOS are suggested	4
<b>2.5) PFOS</b>	PBDE amount is estimated in compliance and using the methods provided in the UNEP/UNIDO guidance on PBDE. Data on EEE and vehicle registration is provided in a separate annex	5
<b>2.4) POPS PBDEs</b>	Two-day National Priority Validation Workshop conducted as part of the enabling activities to review and update the National Implementation Plan (NIP) for the Stockholm Convention on Persistent Organic Pollutants (POPs) in the Philippines in October 29-30, 2013 at the Century Park Hotel, Manila. The workshop aims to validate the national criteria, objectives and priorities of national POPs management. The output of the workshop reflected in the specific action plans included in the NIP project and NIP updating process.	4
<b>3) Priority settings</b>	Two-day National Priority Validation Workshop conducted as part of the enabling activities to review and update the National Implementation Plan (NIP) for the Stockholm Convention on Persistent Organic Pollutants (POPs) in the Philippines in October 29-30, 2013 at the Century Park Hotel, Manila. The workshop aims to validate the national criteria, objectives and priorities of national POPs management. The output of the workshop reflected in the specific action plans included in the NIP project and NIP updating process.	
<b>4) Quality of the activities related to NIP Updated and reviewed document</b>		
<b>4.1) Status of NIP update document</b>	The final Nip Update and review document made available but not yet endorsed	
<b>4.1) Inventory</b>	Inventory reports made available in the NIP update document. These covers all the substance	

	listed in the SC	
<b>4.2) Action plan</b>	The action plans covers all the POPs and extend to POPs contaminated sites. The new action plans (specially for PCBs) are based on the review of issues found in the implementation of original action plans and suggest solutions. A simple time frame for the activities is provided for each action plan, and the financial plan follows the time frame. Very likely the proposed budget is underestimated	
<b>4.3) Gender issues</b>	Although a specific section on gender issues is not reported in the NIP update document, all the action plan include activities and recommendation addressed to solve specific gender issue, including exposure to chemicals, specific training, communication and participation. It should be noted that	
<b>4.4) Socio economic issues</b>	A specific section on socio-economic issues is included in the document. This section does partially identifies the socio-economic impact that may be found in phasing out POPs, including for instance 1) PCBs: impact of the cost of treatment/phasing out of PCB contaminated equipment for the electric industry; 2) cost/benefit for the industry and the population for the implementation of BAT/BEP in specific industrial sectors; 3) impact on E-waste management on the provisions related to PBDE and PFOs, etc.	

**Table 8: Qualitative assessment for Swaziland**

Evaluated item	Swaziland	Rating
<b>1) Inception reports</b>	The inception report summarizes the 3 presentations held during the inception workshop, concerning: an introduction to the initial NIP; an introduction to new POPs listed under the SC; and an introduction the EA project for NIP update. List of the member of the Steering Committee was made available. The inception workshop was mainly participated by local and national governmental representatives	3.5
<b>The training workshop report</b>	A training workshop took place over 3 days- a report has been submitted with presentations on inventories and methodology; national consultants have also presented their planning and methodology	4
<b>1.2) Planning</b>	A workplan consisting in a Gantt chart was submitted	3
<b>2) Preliminary inventory and national inventory validation workshop.</b>	The agenda and the draft report of the inventory workshop made available. The workshop was conducted for 3 days and included a coordination section and a technical section with presentations concerning the inventories for all the POPs listed under the SC.	4.3
<b>2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)</b>	The inventory report includes PBDEs, PFOS, and a limited number of PCB analysis in dielectric oil. U-POPs (dioxin and furan) inventory has been properly updated based on UNEP toolkit. The POPs pesticide inventory was based on direct survey of a large number of sites.	4
<b>2.2) PCBs</b>	A small amount of sampling and analysis (totally 72) was carried out using a chloride ion probe portable equipment (LX2000). A tentative PCB management plan for for the Swaziland Electric Company was also developed.	4
<b>2.3) PCDD/F and other U-POPs</b>	The preliminary inventory report contains an update of the U-POPs inventory based on the most recent UNEP toolkit available at the time and updated statistical data.	4
<b>2.4) Pesticides</b>	The pesticide inventory is focused on POPs pesticides. It is based on a wide questionnaire survey and visit to 86 POPs pesticide stockpiles, and allows for comparison with the original inventory. It also includes an evaluation of progress in managing existing obsolete pesticide stockpiles.	5
<b>2.5) PFOS</b>	The inventory of PFOS was carried out for synthetic carpets and fire fighting foam. Meeting with relevant stakeholders, site survey and a questionnaire survey based on the UNEP guidance were performed. Lack of specific data on the size of carpets and information on POPs content of FFF however prevented from a quantitative assessment of the amount of PFOS possibly existing in the country.	4
<b>2.4) POPS PBDEs</b>	The inventory of POPs PBDEs is fully compliant with the UNEP guidance and was performed at Tier 1 and Tier 2 level. The POPs PBDEs cover both WEEE and ELV sources as main sources of POPS in waste material. An XRF detector was used to measure BFR in waste.	5
<b>3) Priority settings</b>	Not available yet	
<b>4) Quality of the activities related to NIP Updated and reviewed document</b>		4.3
<b>4.1) Status of NIP update document</b>	The final Nip Update and review document is not yet available	
<b>4.1) Inventory</b>	Preliminary inventory report available based on separate documents	4.3
<b>4.2) Action plan</b>	Not available yet	
<b>4.3) Gender issues</b>	Not available yet	
<b>4.4) Socio economic issues</b>	Not available yet	

**Table 9: Qualitative assessment for Tanzania**

Evaluated item	Tanzania	Rating
1) Inception reports	The inception report summarizes the 3 presentations held during the inception workshop, concerning: Introduction to the SC; Updating National Implementation Plans and new listed POPs; Overview and Implementation Status of the Origin NIP; Country Situation on Chemicals, Wastes and Contaminated Sites Management; Inventory of PCBs and Current Situation; Inventory of POPs pesticides and current situation; newly listed POPs pesticides and updating pesticide inventory; inventory of U-POPs inventory and BAT and BEP.	4
1.1) Training	Training was conducted in a series of short lectures through slides projection/plenary sessions, assignments and interactive discussions. Training lasted for 4 days. The training report was part of the inception report and included material on the inventory of industrial POPs (PFOs and PBDEs), legal obligations, action plan development, unintentional POPs.	4
1.2) Planning	Five task teams identified, selected and recruited. Scope, Membership and Work Plan of each of the Task Teams drafted and submitted in March 2014	4
2) Preliminary inventory and national inventory validation workshop.	Not available yet	N/A
2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)	Not available yet	N/A
2.2) PCBs	Not available yet	N/A
2.3) PCDD/F and other U-POPs	Not available yet	N/A
2.4) Pesticides	Not available yet	N/A
2.5) PFOS	Not available yet	N/A
2.4) POPs PBDEs	Not available yet	N/A
3) Priority settings	Not available yet	N/A
4) Quality of the activities related to NIP Updated and reviewed document		N/A
4.1) Status of NIP update document	The final NIP update and review document is not yet available. Inventories not completed yet.	N/A
4.1) Inventory	Not available yet	N/A
4.2) Action plan	Not available yet	N/A
4.3) Gender issues	Not available yet	N/A
4.4) Socio economic issues	Not available yet	N/A

**Table 10: Qualitative assessment for Zambia**

Evaluated item	Zambia	Rating
<b>1) Inception reports</b>	The inception report includes the full text of the introductory speeches from the authority, summary of the presentation from the participants, the list of participant, and as an annex, the presentations in PPT. The training report includes the abstracts of the presentations made during the two day training course.	4
<b>1.1) Training</b>	A two day training on the following topic was carried out: POP PBDE inventory; Current Situation on PCBs Management in Zambia and updating the inventory on PCBs ; Situation of POPs pesticides in Zambia and updating the pesticide inventory : Situation of UPOPs in Zambia and updating the Inventory Legal Obligations for New POPs; Understanding POP-PBDEs: Situation of E-waste inventory and E-waste Compiling a national POP- PBDEs inventory Understanding PFOS; Country information on potentially PFOS using industries; Compiling a national PFOS inventory; presentation on U-POPs, pesticide and PCBs inventory; socio-economic and gender issues; planning and work plan	4
<b>1.2) Planning</b>	A workplan has been submitted as annex of the inception workshop materials.	5
<b>2) Preliminary inventory and national inventory validation workshop.</b>		3
<b>2.1) Inventory of original 12 POPs with specific reference to PCB and U-POPs (to be checked in NIP updated document if available, otherwise here in the inventory reports)</b>	Not made available to the Evaluation team. Inventory reports are already available.	3.6
<b>2.2) PCBs</b>	The inventory reports dated April 2014 received by the Evaluation team are still in the draft version. These reports includes: PCBs; industrial POPs (PFOs and PBDEs); Pesticides; U-POPs. All the presentations held in the workshop were made available. Old POPs inventories have been updated.	4
<b>2.3) PCDD/F and other U-POPs</b>	The PCB inventory is being carried out by means of questionnaire survey (no sampling and analysis of dielectric oil). As of now it lists around 362 suspected PCB transformers and 1977 suspected PCB capacitors). Traceability of suspected PCB equipment is not ensured.	3
<b>2.4) Pesticides</b>		
<b>2.5) PFOS</b>	The inventory was carried out in six of the 10 provinces of Zambia. The information was collected through questionnaires and interviews with relevant institutions. The draft inventory provides information on the current import and use of Endosulphan and DDT, however no information on the stockpiles of these or others POPs pesticides is included.	3
<b>2.4) POPS PBDEs</b>	A draft PFOs inventory report is made available. The PFOs inventory is being carried out based on questionnaires. PFOs containing FFF were identified and stockpiles quantified. Three major FFFs were identified on the Zambian market and these are Fluoro Protein (FP), Alcohol Resistant- Aqueous Film Forming Foams (AR-AFFF) and Aqueous Film Forming Foams (AFFF). Fluoro Protein and AR-AFFF are supplied by Angus Fire Limited and Armour Limited, whereas AFFF is supplied by CHUB Limited and Chemserve Systems Limited. From the eight respondents it was revealed that a total of 6950 litres of AR-FFF and 1680 litres of FP were in stock at the time of the inventory. The inventory is compliant with UNEP guidance.	4
<b>3) Priority settings</b>	The inventory of POPs PBDEs is fully compliant with the UNEP guidance. The POPs PBDEs cover both WEEE and ELV sources as main sources of POPS in waste material. An XRF detector was used to measure BFR in waste.	4
<b>4) Quality of the activities related to NIP Updated and reviewed document</b>	Priority setting report not made available. Consideration on priorities made available under separate inventory reports.	
<b>4.1) Status of NIP update document</b>		3.6
<b>4.1) Inventory</b>	The final Nip Update and review document is not yet available.	
<b>4.2) Action plan</b>	Inventory report draft documents made available	3.6
<b>4.3) Gender issues</b>	Not available yet	
<b>4.4) Socio economic issues</b>	ot available yet	

**Table 11: Average score by section from the technical evaluation grid analysis<sup>38</sup>**

Evaluated item	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Rating	Rating
	Philippines	Mongolia	Jordan	Macedonia	Swaziland	Tanzania	Zambia	Honduras	Costa Rica
<b>1) Inception reports</b>	4.5	3.0	4.0	4.0	3.5	4	4.0	2.0	3,0
2) Preliminary inventory and national inventory validation workshop.	4.2	3.0	N/A	4.3	4.3	N/A	3.6	4.0	3.0
<b>3) Priority settings</b>	4.0	3.0	N/A	4.0	N/A	N/A	4,0	3.0	4,0
4) Quality of the activities related to NIP Updated and reviewed document (including inventories)	4.2	3.0	N/A	4.1	4.3	N/A	3.6	3.2	2.6
Average score	4.2	3.0	4.0	4.1	4.1	4	3.8	3.1	3.2

<sup>38</sup> Mozambique is not included since as of 30 November 2014 there were no deliverables produced yet.

## APPENDICES: Project Summaries

### Appendix 1: Costa Rica



#### Project Summary - Costa Rica

Costa Rica has ratified the SC on 6 of February 2007 and is a Party since July 2007. The **original NIP** was elaborated with GEF financial support and the technical assistance of UNEP. The NIP was formulated in January 2009 and submitted to the SC Secretariat within the deadline in May 2009<sup>39</sup>, outlining strategies, objectives, priority activities and their timelines.

It was elaborated based in a multi stakeholder approach with the participation of various entities including universities, institutions, communities and companies. The NIP has six action plans for: PCBs) the generating of dioxin and furan emissions, the existence of POPs pesticides and outdated, and on Institutional, Judicial, Public Awareness and Communication among the population.

The Government has designated the Directorate of Environmental Quality Management (*Dirección de Gestión de Calidad Ambiental- DIGECA*<sup>40</sup>) within the Ministry of Environment and Energy (MEA<sup>41</sup>) as the NEA of the original NIP and its review and update. The MEA-DIGECA is the National Focal Point for the SC.

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<i>Integrated PCB management in Costa Rica</i>	<p>Implementing agency: UNDP</p> <p>The objective of the project is to minimize risks of exposure from PCBs to people and the environment in Costa Rica. The project has the following components:</p> <ul style="list-style-type: none"> <li>- Strengthened Institutional Capacity in Costa Rica for the environmentally sound management of PCBs</li> <li>- Environmentally sound management and interim storage of PCBs</li> <li>- Environmentally sound destruction of PCBs and management of contaminated equipment</li> <li>- Awareness raising</li> </ul>
<i>Status: Have completed the 1st year of implementation (total 4 years)</i>	

<sup>39</sup> <http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>40</sup> <http://www.digeca.go.cr/>

<sup>41</sup> MINAE has replaced the Ministry of Environment, Energy and Telecommunications (MINAE) which was the first executing agency for this project <http://www.minae.go.cr/>

<p>Strengthening of National Initiatives and Enhancement of Regional Cooperation for the Environmentally Sound Management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries</p> <p>Countries covered: Argentine, Bolivia, Chile, Costa Rica, Ecuador, El Salvador, Guatemala, Honduras, Nicaragua, Panamá, Peru, Uruguay, Venezuela</p>	<p>Implementing agency: UNIDO</p> <p>The objective of the project is to strengthen national initiatives and enhance regional cooperation for the environmentally sound management of POPs in WEEE in LAC. It has the following components:</p> <ul style="list-style-type: none"> <li>- Strengthening of national e-waste management initiatives</li> <li>- Strengthening of national capacities on waste dismantling and recycling facilities / infrastructure</li> <li>- Enhancement of regional cooperation on e-waste management.</li> </ul>
<p><i>Status: The project is being prepared (PPG phase)</i></p>	

The request for funding for the **NIP review and update** was submitted to GEF approval on 20 September 2012, and approved on 15 January 2013. The total cost of the project is 433 000 US\$ of which 198 000 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 8 March 2013, the project document was signed by the Minister of Environment on 9 September 2013.

The project is under direct execution, which means that UNIDO hires directly the PCU and the national consultants under ISA.

The aim of the project is to provide services related with EA activities to review and update the Costa Rica's NIP under the SC. Reference to the gender dimension was found in the project funding proposal which establishes that the "gender mainstream activities will be an integral part of this project" and also under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction"

The project duration is 12 months. Three of the four components have been concluded<sup>42</sup>. As of 30 November 2014, this is the status of the services provided in each of the three components:

**Table 2: Status of the Services to be provided in each component**

Component	Services to be Provided	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted	The Working team ( <i>equipo de trabajo</i> ) nominated composed by: Technical Coordinator; Administrative Coordinator; and national consultants for Industrial POPs; Non-Intentional; Pesticides; Legal; and socio-economic issues.
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy	Costa Rica has a specific coordination mechanism that was established prior to the 1st NIP by Executive Decree No. 33104– RE-MAG-MINAE-S of 7 June

<sup>42</sup> According to information collected during the interview with country representative on 18 November 2014 Costa Rica aims to have the reviewed and updated NIP submitted to CoP 7 (2015)

	implications	<p>2006: <i>The Technical Secretariat for the management of chemicals</i> (incorporates representatives from Environment, Health, Agriculture, Customs, Academia and Chambers of Commerce and Industry) oversees the Executive Directorate which, with its Technical and Administrative Coordination Committee, follows up the NIP implementation process and the work of the national experts - see figure 1 below.</p> <ul style="list-style-type: none"> <li>- Communication strategy of the EA project not elaborated;</li> <li>- No information found on the website of DIGECA/MINAE</li> <li>- Inception Workshop (<i>Taller Introdutorio</i>) held</li> </ul>
<b>Component 2</b> Inventories of new POPs and NIP review	<p>2.1. Inventories of initial 12 POPs updated and validated by stakeholders;</p> <p>2.2. Inventories of new POPs conducted and validated by stakeholders.</p>	<ul style="list-style-type: none"> <li>- Training workshop held</li> <li>- Inventories elaborated</li> <li>- Inventories validation workshops held for each inventory</li> </ul>
<b>Component 3</b> National Capacities Assessment	3.1. National regulatory and policy framework and institutional capacities to manage new POPs assessed	- Legal and Institutional Framework for POPs management
	3.2. Prioritization of new POPs risk reduction options based on criteria, cost and benefit and inventory results completed.	- for Priority setting and validation workshop

Figure 1: Coordination Mechanism



The three first components were delivered within schedule - the project should have been concluded by September 2014 but due to "some disagreements in the execution of the project"<sup>43</sup> an extension of 3 more months was agreed until end of December 2014 (total 15 months) and a further extension was agreed for 5 more months - the 4 project is expected to be concluded by 30 April 2015. This seems a realistic time-frame to conclude the 4th component.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
Summary of Inception Report ( <i>Informe Taller Introdutorio</i> )	36, including the PM, from different entities with contact details	No specific mention was found to gender balance in the documents produced	Did not provide a report but rather a summary - with the following attachments: - Presentations; - Agenda; - List of attendants	Expected date: November 2013
				Deliverable date: 13/11/2013
				Within schedule
<b>Component 2</b> Inventories of new POPs and NIP review				
Summary of Training Workshop	13, from different entities with	No specific mention was found to	Did not provide a report but rather a	Expected date: September 2014

<sup>43</sup> Email from national counterpart 11/11/2014

(Informe Taller de capacitación en Inventarios)	contact details	gender balance in the documents produced	summary - with the following attachments: - Presentations with the WP from each national consultant; - List of attendants	Deliverable date: 13/05/2014 Ahead of schedule
Inventory of Pesticides and Validation Workshop				Delivered date: 02/09/2014
Inventory of Industrial POPs and Validation Workshop				Delivered date: 03/09/2014
Inventory U-POPs and Validation Workshop				Delivered date: 17/10/2014
Legal and Institutional Framework for POPs management				Delivered date: 05/08/2014
Socio-Economic Study for the management of industrial POPs				Delivered date: 16/09/2014
<b>Component 3</b> National capacities assessment and priority setting for management of new POPs				
High Level Meeting on POPs Pesticides				Delivered date: 15/10/2014
High Level Meeting on Industrial POPs				Delivered date: 08/10/2014
High Level Meeting on u-POPS				Delivered date: 16/10/2014

### Synergies:

Specific reference is made to synergies in the 1st NIP between those programs tending to comply with other MEAS (Rotterdam, Basel, Montreal, Climate change, Marpol, among others)<sup>44</sup>.

### Summary of the Objectives identified in the 1st NIP:

Action Plan	Objectives
<b>1. LEGAL STRENGTHENING</b>  <b>To have a proper legal framework to comply with the stipulated in the</b>	1. To establish a national policy led by the MINAET in coordination with the Health Ministry for the integral management of chemical products and their residues in the country  2. To create legal instruments related to the management of existing POPs and residues generated

<sup>44</sup> Pag 5, Fisrt NIP

<b>Stockholm Convention</b>	3. To establish a policy of instrument and economic incentives, of recognition or other for the adequate management of chemical substances in general and especially POPs
<b>2. INSTITUTIONAL STRENGTHENING</b>  <b>To have an appropriate and strengthen institutional framework to comply with the stipulated in the Stockholm Convention</b>	1. To strengthen, within the Technical Department, intersector coordination for an integral management focused in the life cycle of chemical substances  2. To strengthen the capacities to supervise and to follow up the safe operation of dangerous chemical substances.  3. To establish a POPs National Information System that permits: - updates of the inventories by statements of the generators - access to BAT and BET information and inventories and localization of POPs stocks - generation of reports for analysis control and stocks decrease monitoring and management in general of chemical substances
<b>3. PCBs MANAGEMENT</b>  <b>To prevent and decrease pollution environmental problems and health problems generated by electric equipments and oils containing PCBs in the country, eliminating PCBs stocks in a safe manner and adequate and identifying polluted places.</b>	1. To develop and update legislation with clear norms for the adequate management of PCBs and related residues.  2. To develop action plans and protocols for the operation and elimination of equipment with PCBs according to the norm.  3. To establish temporary stocking infrastructure.  4. To train and inform.  5. To strengthen the analytical capacity.  6a To provide the adequate final disposal to equipment with PCBs <b>Medium term 6-10 years</b> 6b. To provide the adequate final disposal to equipment with PCBs  6. To identify and characterize the places polluted with PCBs.  7. To develop criteria to select methodologies and procedures to repair the places polluted with PCBs
<b>4. POPS PESTICIDES MANAGEMENT</b>  <b>To decrease environmental pollution and health problems derived from inappropriate management of existing POPs pesticides and obsoletes.</b>	1. To define policies and intersector plans of expired pesticides management and of packages including methodologies to prevent the generation of expired pesticides.  2. To establish temporary stocking infrastructure  3. To control and supervise the import of prohibited pesticides including POPs.  4. To provide training to the emergency and natural and technological disaster attention brigades about pesticides operation in emergency situations.  5. To develop action plans to eliminate expired pesticides promoted by the Secretary in coordination with MAG, Health Ministry and MINAET.  6. To develop educational and informative campaigns about risk decrease in pesticide operation.  <b>Medium term 6-10 years</b> 1. To identify and characterize the places polluted with PCBs  2. To develop criteria to select methodologies and procedures to

	<p>repair the places polluted with PCBs</p> <p>3. To develop required measures to minimize negative social impacts on pesticide management.</p>
<p><b>5. DIOXINS AND FURANS MANAGEMENT</b></p> <p><b>To decrease environmental pollution and health problems derived from unintentional generation of Dioxins and Furans.</b></p>	<p>1. To develop and implement environmental management methods integrating prevention and control of pollution especially non intentional dioxin and furan releases.</p> <p>2. To develop a database and information analysis of unintentional releases of dioxins and furans and their sources, by sector in the country, with supported information that might be incorporated in the POPs database.</p> <p>3. To develop alternate technologies to minimize POPs releases and their effects on the environment and human health.</p> <p>4. To develop pilot plans that permit research and implement, by sector or productive activity, the best available techniques that are feasible for the situation of the. Projects specifically in:</p> <p>d. Agricultural sector: pineapple and cane  e. Rural sector: management of domestic residues  f. Industrial sector: lime kilns and galvanic</p> <p>5. To develop systematic educational programs in awareness of harmful productive practices to the environment and solid residues operation for problematic sectors in the dioxins and furans subject matter.</p> <p>6. To strengthen the capacity in emergency and natural and technological disasters related to the generation of dioxins and furans in emergency situations.</p> <p><b>Medium term 6-10 years</b></p> <p>7. To define indicators, by sectors, which permit to evaluate the efficiency of the implementation of the best available technologies and the best environmental practices.</p> <p>8. To create norms related to dioxins and furans releases and permitted limits.</p> <p>9. To develop the capacity to conduct analysis and control of dioxins and furans releases.</p> <p>10. To develop information generation mechanisms about dioxins and furans releases from a new requirement at the time of the functioning application that includes information about dioxins and furans releases generation and to update with this information the database of the inventory.</p> <p>11. To develop required measures to minimize negative social impacts in dioxins and furans management.</p>
<p><b>6. PUBLIC AWARENESS AND PARTICIPATION</b></p> <p><b>To decrease environmental pollution and health problems derived from stocks and generation of unintended</b></p>	<p>1. To strengthen awareness, information and education of the population about persistent organic pollutants (POPs) problema and the priorities established in the Implementation National Plan through the participation of the Ministry of Public Education, INA, Institutions of Higher Education, Professional Organization, NGOs among others.</p> <p>2. To position the National Implementation Plan subject matters for</p>

<b>POPs.</b>	POPs reduction among key agents.
	3. To promote and support the establishment of synergies with other programs and projects ( example: Peace with Nature) for the awareness and informed and organized participation of the different sectors of society related to POPs management and the National Implementation Plan.

## Appendix 2: Honduras



### Project Summary - Honduras

Honduras has ratified to the SC on 23 May 2005 and is a Party since August 2007. The original NIP was elaborated with GEF financial support and the technical assistance of UNDP. The NIP was formulated in 2009 and submitted to the SC Secretariat in January 2010<sup>45</sup>, outlining strategies, objectives, priority activities and their timelines.

The first NIP was elaborated based in a multi stakeholder approach with the involvement of more than 300 people "from the public, business sector, NGOs, workers, students, municipalities and women". The NIP "summarizes the results of investigations and plans developed in order to comply with the SC" nad has been designed to facilitate its regular updating, based on national needs and priorities and the new decisions of the CoP.

The Government has designated the *Secretaría de Recursos Naturales y Ambientales* (SERNA)<sup>46</sup> as the NEA of the original NIP and its review and update - created in 1996 SERNA has changed its designation to Ministry of Energy, Natural Resources, Environment and Mines (Secretaría de Energía, Recursos Naturales, Ambiente y Minas).

The National Commission for the Environmentally Sound Management of Chemicals (CNG)<sup>47</sup> has been officially nominated as an intersectoral coordination, consultation and sensitization mechanism among the sectors involved in the sound management of chemicals which is also responsible to recommend to decisions makers resolutions, reports and action plans to be adopted in this area. The national coordination involved more then 70 people - the representatives of CNG include: SERNA; Ministry of Agriculture and Livestock; Ministry of Health; Ministry of Labour and Social Security; Ministry of Planning and External Cooperation; and Ministry of Industry and Commerce. Within the national coordination smaller WG have established of around 30 people who participate in all the workshops and meetings - they meet every month; the NPC meets with them twice a month; and the CNG has met twice since it was established.

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
Strengthening National Management Capacities and Reducing Releases of POPs in Honduras	Implementing agency: UNDP The objective of the project is to contribute to the reduction in health and environmental risks of POPs through the application of principles of sound environmental management within the context of the

<sup>45</sup> The deadline for transmission was August 2007

<http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>46</sup> <http://www.serna.gob.hn/index.php/78-serna-main/serna-slider/957-secretaria-de-energia-recursos-naturales-ambiente-y-minas>

<sup>47</sup> Executive Decree PCM-035-2013 which approves the establishment of the *Comisión Nacional para la Gestión Ambientalmente Racional de los Productos Químicos* (CNG) published in August 2013 in the Official Journal of Honduras

	<p>National Implementation Plan for the Stockholm Convention. It has the following components:</p> <ul style="list-style-type: none"> <li>- Development of institutional capacities and strengthening of the regulatory and policy framework for the management and elimination of POPs and the reduction of their impacts.</li> <li>- Increase of awareness regarding the nature, impacts and management of hazardous chemicals and wastes.</li> <li>- Sound environmental management and elimination of intentionally produced POPs.</li> <li>- Minimizing releases of unintentionally produced POPs from current Waste Management practices</li> </ul>
<i>Status: The project is being implemented</i>	
<p>Strengthening of National Initiatives and Enhancement of Regional Cooperation for the Environmentally Sound Management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries</p> <p>Countries covered: Argentine, Bolivia, Chile, Costa Rica, Ecuador, El Salvador, Guatemala, Honduras, Nicaragua, Panamá, Peru, Uruguay, Venezuela</p>	<p>Implementing agency: UNIDO</p> <p>The objective of the project is to strengthen national initiatives and enhance regional cooperation for the environmentally sound management of POPs in WEEE in LAC. It has the following components:</p> <ul style="list-style-type: none"> <li>- Strengthening of national e-waste management initiatives</li> <li>- Strengthening of national capacities on waste dismantling and recycling facilities / infrastructure</li> <li>- Enhancement of regional cooperation on e-waste management.</li> </ul>
<i>Status: The project is being prepared (PPG phase)</i>	

The request for funding for the **NIP review and update** was submitted to GEF approval on 25 September 2012, and approved on 14 December the same year. The total cost of the project is 449,420 US\$ of which 189,420 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 18 February 2013. The project document was signed by the Ministry of Natural Resources and the Environment on 8 March 2013.

The project is under direct execution, which means that UNIDO hires directly the PCU and the national consultants under ISA and they are not subject to the ToR of the sub-contracting arrangements. As a specific implementation plan was elaborated by the Government of Honduras and negotiated with UNIDO (for the initial period of June 2013-July 2014 and updated later to July 2015- May 2015). The NPC was hired on 3 of June 2013 and the NPM on 5 August 2013. The project was officially launched with the new Government in February 2014.

The aim of the project is to provide services related with EA activities to review and update the Honduras' NIP under the SC.

The project duration is 12 months. Three of the four components have been concluded<sup>48</sup>. As of 30 November 2014, this is the status of the services provided in each of the three components:

**Table 2: Status of the Services to be provided in each component**

Component	Services to be Provided	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted	<ul style="list-style-type: none"> <li>- PCU established</li> <li>- Re-establishment of the NPC and its Official nomination via Executive Decree PCM-035-2013 which creates the <i>National Commission for the Environmentally Sound Management of Chemicals</i></li> <li>- Strengthening Mechanisms for Coordination and socialization of the project objectives and risks of new POPs considered a permanent activity during the project implementation</li> </ul>
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	<ul style="list-style-type: none"> <li>- Communication strategy of the EA project not elaborated but the social media are being used to inform about the NIP developments<sup>49</sup> and various awareness raising materials have been developed</li> </ul>
<b>Component 2</b> Inventories of new POPs and NIP review	2.1. Inventories of initial 12 POPs updated and validated by stakeholders; 2.2. Inventories of new POPs conducted and validated by stakeholders.	The following Studies/Inventories have been produced: <ul style="list-style-type: none"> <li>- Inventory Industrial POPs</li> <li>- Inventory UPOPs</li> <li>- Inventory pesticides</li> <li>- Socio-economic Study</li> </ul> Inventories Validation Workshop held during the implementation of the project
<b>Component 3</b> National Capacities Assessment	3.1. National regulatory and policy framework and institutional capacities to manage new POPs assessed	<ul style="list-style-type: none"> <li>- Study on National institutional and policy framework</li> </ul>
	3.2. Prioritization of new POPs risk reduction options based on criteria, cost and benefit and inventory results completed.	<ul style="list-style-type: none"> <li>Validation was done permanently during the process of project development</li> </ul>

Each consultant has been requested to define the conditions, WP and priority actions. This information was in the process of being consolidated for validation and approval. According to information provided by the NPC Honduras has completed 10 out of 11 outputs and expect to have the NIP endorsed for submission at the next CoP.

<sup>48</sup> According to information collected during the interview with the NPC on 19 November 2014 Honduras aims to have the reviewed and updated NIP submitted to CoP 7 (2015)

<sup>49</sup> <https://www.facebook.com/PROYECTOACTUALIZACIONPNICOPSHONDURAS>

The project should have been concluded by July 2014. Two extensions were negotiated with the Government of Honduras - the project is expected to be concluded by 30 April 2015.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Time-Line
<b>Component 1 Coordination mechanism and awareness raising</b>		
Report of technical and administrative implementation which describes the activities undertaken from June 2013 to July 2014 and updated from July 2014 to May 2015	Annex to the Report contains number of participants by workshop	Permanent activity
Inception workshop for high-level commitment		Delivery date: 26-27 February 2014
<b>Component 2 Inventories of new POPs and NIP review</b>		
Inventory Validation Workshop		Held permanently during the implementation of the project
Study on National institutional and policy framework		Delivery date: 28/06/2014
Inventory Industrial POPs		Delivery date: 26/06/2014
Inventory UPOPs		Delivery date: 07/08/2014
Inventory pesticides		<i>In process</i>
Socio-economic Study		<i>In process</i>
<b>Component 3 National capacities assessment and priority setting for management of new POPs</b>		
Preliminary Strategy National institutional and policy framework		Delivery date:

		28/06/2014
Preliminary Strategy Industrial POPs Management		Delivery date: 05/09/2014
Preliminary Strategy u-POPs Management		Delivery date: 28/10/2014
Preliminary Strategies Pesticides Management		<i>In process</i>
Preliminary strategies to strengthen the socio economic framework on POPs management		Delivery date: 15/11/2014 <i>(in final process of validation)</i>

**1st NIP has identified the following priority actions**

1. Reducing the risk of Honduras population to Pesticide POPs;
2. Reducing the risk of Honduras population to PCBs;
3. Reducing the risk of Honduras population to unintentional releases of dioxins and furans from prioritized emission sources (uncontrolled burning of solid waste);
4. Strengthening National Capacities for the Environmentally Sound Management of Chemicals;
5. Harmonization and implementation of the legal framework to achieve Environmentally Sound Management of Chemicals; and
6. Education and awareness raising.

## Appendix 3: Jordan



### Project Summary - Jordan

Jordan ratified the SC on 8 November 8 2004 and is a Party since February 2005. The **original NIP** was elaborated with financial support from the GEF and the technical assistance of UNEP. The NIP formulation was completed in June 2006 and endorsed to the SC Secretariat in December 2006, before the deadline for transmission (February 2006)<sup>50</sup>.

The first part of the NIP provides an introduction to the SC and POPs, whilst the second part summarizes the current status in Jordan with regards to POPs. This is the baseline inventory. The Government has designated the Ministry of Environment as the NEA of the first NIP.

The NSC was established consisted of representatives of Ministries (Environment, Planning and International Cooperation, Health, Trade and Industry, Agriculture), Armed Forces and Civil Defense, Industrial and Trade Association, and Scientific association. A POPs unit under the Ministry of Environment was established and is in charge of coordinating the technical aspect of the implementation of the SC. The same structure was reactivated to review and update the NIP.

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<i>Implementation of Phase I of a Comprehensive PCB Management System</i>	<p>Implementing agency: UNDP.</p> <p>The project has been developed to specifically address the main barriers in PCB elimination preparation through: (1) Regulatory and administrative strengthening for PCB management; (2) Improving PCB inventory and technical capacity for Environmentally Sound Management (ESM) of PCB equipment and materials; (3) Demonstration projects for testing ESM system and disposal of PCB containing equipment</p>
<i>Status: under implementation</i>	
<p><i>Demonstration of Sustainable Alternatives to DDT and Strengthening of National Vector Control Capabilities in Middle East and North Africa</i></p> <p>Countries covered: Djibouti, Egypt, Jordan, Morocco, Islamic Republic of Iran, Sudan, Syria and Yemen</p>	<p>Implementing agency: UNEP.</p> <p>The long-term objective of this Regional Project is to reduce the reliance on DDT without increasing the occurrence of vector-borne diseases (VBD), and to promote appropriate vector control management practices by strengthening capacities of countries to sustainably implement environmentally sound alternatives. The project objectives are to: (i) demonstrate the viability, availability, efficiency and cost-effectiveness of the alternatives to use of DDT; (ii)</p>

<sup>50</sup> <http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

	promote the replication of the good practices and demonstrated alternatives in the countries selected and elsewhere; and (iii) build capacity in each country to plan and design application of alternatives based on the principles of integrated vector management (IVM).
<i>Status: under implementation</i>	
<i>Promotion of Strategies to Reduce Unintentional Production of POPs in the PERSGA Coastal Zone</i>  Countries covered: Egypt, Jordan, Sudan and Yemen	Implementing agency: UNIDO.  The aim of this regional project was to reduce and/or eliminate the U-POPs in key sectors of industry such as cement, incineration, metallurgy and pulp and paper recognized as important source categories in Annex C of Article 5 of the Stockholm Convention through the introduction of BAT/BEP strategies in the industrial sector of the coast in the PERSGA eligible member countries. By achieving the Project's goal, PERSGA member countries attained better compliance with their obligations under the Stockholm Convention on POPs, particularly those related to the industrial sector releases of U-POPs. The project has further contributed to the improvement of human health and environmental conditions in the coastal zone as the project is linked to national sustainable development plans of the participating countries
<i>Status: completed<sup>51</sup></i>	

The request for funding for the **NIP review and update** was submitted to GEF approval on 21 August 2012, and approved on 9 January 2013. The total cost of the project is 339,700 US\$ of which 159,700 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started in 4 March 2013 and the contract between UNIDO and the Government of Jordan entered into effect on 30 May 2013.

The aim of the contract is to provide services related with EA activities to review and update the Jordan's NIP under the SC. Reference to the gender dimension was found in the project funding proposal under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction".

The project duration is 12 months. Currently only component 1 of the project has been completed. As of 30 November 2014, this is the status of the services provided in each of the three components:

<sup>51</sup> Mid-term and Final Evaluation Report (April, 2011)  
[http://www.unido.org/fileadmin/user\\_media\\_upgrade/Resources/Evaluation/RAB\\_GFRAB08006\\_PERSGA\\_Final\\_Evaluation\\_Report\\_110413.pdf](http://www.unido.org/fileadmin/user_media_upgrade/Resources/Evaluation/RAB_GFRAB08006_PERSGA_Final_Evaluation_Report_110413.pdf)

**Table 2: Status of the Services to be provided in each component**

Component	EA Component	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted (co-financing and PMC)	- Inception workshop held  A preliminary inception report made available.
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	Participants from Governmental and Academy, as well as the media, attended in the inception workshop. The working group of POPs includes experts and representatives from Ministries (Environment, Planning and International Cooperation, Health, Trade and Industry, Agriculture), Armed Forces and Civil Defense, Industrial and Trade Association, and Scientific association.

The project deliverables for component 1 have, in general, complied with the ToR. Considering that up to now only limited activities have been carried out, it is likely that even with the extension of the contract for 6 months (from 31 December 2014 to 30 June 2015), not all the deliverables will be completed.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
Inception and Training report  (NIP Update Project Inception and Inventory Workshop on Enabling Activities to Review and Update The National Implementation Plan  Stockholm Convention on Persistent Organic Pollutants  Amman – Jordan, 9 to 11 November 2013)  Workplans for the inventory of POPs	Around 45 participants from various governmental and scientific organizations attended the workshop. Signed attendance sheets were provided as an attachment to the inception report	Women have been involved in the workshops but no specific mention was found to gender balance		Expected date: 29/07/2013  Deliverable date: 11/11/2013  Delay: 4 months

### Priorities identified in the 1st NIP

POP issue	Identified priority
Pesticides	Define stockpiles of existing banned POPs pesticides and their quantities
	Label and repack POPs pesticides properly
	Store and dispose obsolete pesticides in an environmentally safe manner
	Regulate trans-boundary movement of POPs pesticides
	Train custom department on pesticides
	Improve custom regulation on pesticide control
	Set criteria for residue level of pesticide in commodities and in environment
U-POPs	Effective enforcement of legislation on U-POPs
	Reduce - prevent open burning of waste
	Manage and incinerate medical waste in an environmentally sound manner
	Manage sludge from wastewater
	Increase awareness and information exchange
PCBs	Statutory authorities should ensure safe storage of the PCBs and adopt safe elimination measures of PCB stockpiles and wastes.

## Appendix 4: Macedonia



### Project Summary - Macedonia

Macedonia ratified the SC on 27 May 2004<sup>52</sup> and is a Party since August 2004. The **original NIP** was elaborated with financial support from the GEF and the assistance of UNIDO. The NIP was submitted to SC Secretariat in September 2005<sup>53</sup> before the deadline for transmission (August 2006).

The Government has designated the Ministry of Environment and Physical Planning (MEPP)<sup>54</sup> as the NEA. According to the NIP preparation guidelines, the original NIP was arranged in two parts: the first part summarizes the current status in Macedonia with regards to POPs. This is the baseline inventory. The second part of the NIP, based on the priorities identified in the first part, details all the actions which need to be undertaken in order to meet all the obligations of the Convention

The PCU was established under the MEPP by the end of April, 2002. It became fully operational from May 2002, as the National POPs office. Its responsibilities include:

- Establishment and coordination of a national expertise network;
- Project management and integration of outputs from various working groups;
- Public awareness initiatives and
- Identification and mobilization of international assistance and partnership.

Accordingly, a Supervisory Committee, comprised of representatives from the involved ministries (MEPP, Ministry of Agriculture, Forestry, and Water Economy, and Ministry of Health), and the private and non-governmental sector, was established for project implementation purposes. The same structure was also in charge of the NIP review and update activities.

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<i>Demonstration project for Phasing-out and Elimination of PCBs and PCB-Containing Equipment</i>	<p>Implementing agency: UNIDO.</p> <p>The main objective of this Medium Sized Project (MSP) is to assist Macedonia to comply with the PCB-related obligations under the SC and at the same time to reduce the releases of PCBs into the environment through enhanced national capacity in the management of PCBs-containing equipment and wastes. The project has been designed to meet the pre-conditions for subsequent and ultimate disposal of PCBs and PCB-contaminated equipment. Main outcomes of the project includes the implementation of an ESM system for PCB-containing equipment within the demonstration areas (collection, transport, interim storage, clean-up and final disposal), including a detailed logistic plans for phasing-out of PCB-containing wastes from the demonstration areas; the upgrade an interim storage facility; the identification and demonstration of the most efficient disposal technology;</p>
<i>Status: project completion.</i>	
<i>Removal of Technical and Economic Barriers to Initiating the Clean-up</i>	<p>Implementing agency: UNIDO.</p>

<sup>52</sup> Official Gazette of the Republic of Macedonia No.17/2004

<sup>53</sup> <http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>54</sup> <http://www.moepp.gov.mk/?lang=en>

<p><i>Activities for Alpha-HCH, Beta-HCH and Lindane Contaminated Sites at OHIS</i></p>	<p>The project objective is to set up a sustainable mechanism to ensure a sustainable clean up operation at the selected HCH contaminated site for future industrial use, and to protect human health and the environment from their adverse effects by reducing and eliminating the releases of and exposure to HCHs (6,000 m<sup>3</sup> or 10,700 tons to be disposed of within the project period).</p>
<p><i>Status: Endorsed by GEF CEO on Dec. 12, 2014.</i></p>	
<p>Capacity Building on Obsolete Pesticides in EECCA Countries</p> <p>Countries covered: Albania, Armenia, Azerbaijan, Belarus, Georgia, Mongolia, Moldova, Romania, Macedonia</p>	<p>Implementing agency: FAO.</p> <p>The primary objective of the project was the reduction of pesticide releases into the environment and elimination of human health and environmental threat they pose in EECCA (Eastern Europe, Caucasus &amp; Central Asia) countries, by incorporating strategies for prevention and management of obsolete pesticides into national policies with a strong emphasis of regional and sub-regional approaches.</p>
<p>Status: completed.</p>	

The request for funding for the **NIP review and update** was submitted to GEF approval on 13 December 2011, and approved on 28 February 2012. The total cost of the project is 578,000 US\$ of which 155,000 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 23 May 2012 and the contract between UNIDO and the Government of Macedonia entered into effect on 17 July 2012.

The aim of the contract is to provide services related with EA activities to review and update the Macedonia's NIP under the SC. Reference to the gender dimension was found both in the project funding proposal, under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction", and in a dedicated chapter of the NIP review and update.

The project duration is 12 months. All the four components have been concluded and the final draft was made available to the Evaluation Team. As of 30 November 2014, this is the status of the services provided in each of the three components:

**Table 2: Status of the Services to be provided in each component**

Component	EA Component	Status
<p><b>Component 1</b> Coordination mechanism and awareness raising</p>	<p>1.1. Project coordination mechanism re-established and working groups formed and contracted (co-financing and PMC);</p>	<p>- With decision of Ministry of Environment and Physical Planning, the NSC on POPs NIP Update was re-established on 24 October 2012</p> <p>- The POPs unit which was in charge of the original NIP unit is a permanent unit which also undertook the implementation of NIP update project.</p>
	<p>1.2. Stakeholders and public informed, consulted and aware of</p>	<p>- Inception workshop held.</p>

	new POPs risks and policy implications	
<b>Component 2</b> Inventories of new POPs and NIP review	2.1. Inventories of initial 12 POPs updated and validated by stakeholders; 2.2. Inventories of new POPs conducted and validated by stakeholders.	- Preliminary inventory report for all POPs drafted and submitted - Inventory validation and priority setting workshop held
<b>Component 3</b> National Capacities Assessment	3.1. National regulatory and policy framework and institutional capacities to manage new POPs assessed;	A comprehensive assessment of regulatory and policy framework and institutional capacities to manage new POPs is included in the final NIP review and update document.
	3.2. Prioritization of new POPs risk reduction options based on criteria, cost and benefit and inventory results completed.	- Workshop on inventory validation and priority setting held  The main objective of the workshop was focusing on the results from the preliminary inventory, presenting the activities and steps undertaken in the second phase of the project implementation and what are the next steps to finalise the inventory, set the priorities and define the action plans
<b>Component 4</b> NIP formulation, endorsement and submission	4.1. Updated and reviewed NIP drafted; 4.2. NIP endorsed by the Government and submitted to the SC Conference of Parties	- Final NIP update drafted  As of now, the NIP updated is not yet submitted to the CoP.

The project deliverables have, in general, complied with the ToR. The project has been completed with a limited delay compared to the initial timeframe.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
(Project GF/MCD/12/001 Enabling Activities to Facilitate Early Action on the Implementation of the Stockholm Convention on POPs - INCEPTION REPORT	70 participants to the Inception Workshop and 18 participants to the Mini-Training Workshop each meeting, pertaining to various governmental, academic and	Women have been involved in the workshops but no specific mention was found to gender balance		Expected date: 14/09/2012  Deliverable date: 27/9/2012 (date of the Inception Workshop)

- October 2012)	industrial bodies as from attached list of participants			October 2012 (date of the Inception report)
				Delay: No significant delay
<b>Component 2 Inventories of new POPs and NIP review</b>				
Republic of Macedonia, Ministry of Environment and Physical Planning, POPs Unit. Updating of national implementation plans to address the new persistent organic pollutants, NIP update –Preliminary old and new POPs Inventory. October 2013)	Workshop on inventory validation and priority setting held jointly. 30 participants attended.	A specific section in the report (Section V: The importance of embedding gender in NIP update project in Macedonia) dedicated to gender issue.	Priority setting and validation report jointly submitted -	Expected date: 12/5/2013 Deliverable date: October 2013 (last preliminary inventory report submitted) Delay: 7 month
<b>Component 3 National Capacities Assessment.</b>				
Workshop on inventory validation and priority setting held April 22-24th, 2013 in Strumica , Central Macedonia, Inventory Validation and Priority Setting and Validation Report, May 2013	Workshop attended by 30 participants from key governmental and non governmental institution, (list of participants available in the report )	Women have been involved in the workshops but no specific mention was found to gender balance	Priority setting and validation report jointly submitted -	Expected date: 12/5/2013. Workshop date: 24/4/2013 Report date: May 2013. Delay: no delay.
<b>Component 4. NIP formulation, endorsement and submission</b>				
Final NIP update drafted (National implementation plan for reduction and elimination of Persistent Organic Pollutants in the Republic of Macedonia – NIP Review and Update - January 2014).  As of now, the NIP updated is not yet endorsed and submitted to the CoP.	The views of different stakeholders is integrated in the NIP review and update document	A specific section in the final document (Chapter 1.3: The importance of embedding gender in NIP update project in Macedonia) dedicated to gender issue.	A final draft in word made available. The draft has not yet been submitted by the GoM to the SC's Secretariat	Expected date: 16/07/2013 Deliverable date January 2014 Delay: 6 months

### Priorities identified in the 1st NIP

POP issue	Identified priority
POPs inventory and management	Detailed inventory of POPs chemicals
	Establishment of a National POPs Center
	Inventory of "hot spots"
PCB	PCB/OCP containing waste management
Legislation	Preparation of new and amendment of existing legislation
Monitoring	Monitoring of POPs Providing necessary equipment for and training on POPs monitoring Monitoring of POPs bioaccumulation in living organisms
Awareness raising and risk assessment.	Public awareness and education Evaluation of adverse effects on human health
U-POPs	Measures for the reduction of dioxin and furan emission
	Promotion of the use of unleaded fuels
	Adoption of principles of BAT (best available techniques in the industry)
	Safe handling
	Preventing uncontrolled waste combustion
Others	Control of PAHs (In Macedonia large quantities of technical waste (HCH) are stored that need to be solved in a proper manner. Although it is not listed in the Stockholm Convection annexes, it is set as the 13th priority in order to find a prompt solution for this waste.)

### Challenges - Priorities identified in the 2nd NIP

Identified challenge or priority
Lack of system for informing and data delivery form households, public administration and commercial sector, collectors, transporters and waste treatment operators for EEE and Transportation sector;
Lack of awareness and capacity among all stakeholders on the content of components in consumer products / vehicles / EEE and others, and potential risks of PBDEs on human health and the environment;
Lack of information about the exact content of bromine compounds contained in CRT monitors and other small house appliances (to accurately calculate quantities );
Other house appliances (refrigerators, cooling devices, small kitchen appliances, etc.) Are not included in the inventory for 2012;
Lack of control on import of old vehicles and equipment although import of such equipment and vehicles containing PBDEs is legally defined and prohibited;
Lack of collection canters for treatment and processing of End of life Vehicles (ELV)
Lack of information about the adverse effects of handling, use of equipment, products containing new industrial POPs chemicals on human health and workers, lack of laboratories for eco-biological monitoring;
Lack of collection canters for treatment and processing of WEEE;
Lack of resources to implement legal measures to manage EEE/WEEE and End of life vehicles (ELV);
Lack of guidelines and limit values of emissions in the environment of new industrial POPs chemicals (PBDEs I PFOS)

## Appendix 5: Mongolia



### Project Summary - Mongolia

Mongolia ratified the SC on 30 April 2004 and is a Party since July 2004. The **original NIP** was prepared with GEF financial support and the technical assistance of UNIDO. The NIP was formulated in May 2006 and submitted to the SC Secretariat in January 2008<sup>55</sup>.

The first NIP was planned to be implemented in 2 stages:

- STAGE I (2006-2010) legal framework to implement the plan will be improved, quantity, sources, wastes volume and contaminated sites of POPs will be identified precisely, preparatory measures for actions to reduce emissions and decontamination will be taken and a national capacity will be strengthened.
- STAGE II (2011-2020) actions to stop usage of POPs containing equipment, eliminate stockpiles, decontaminate polluted sites and reduce emissions will be implemented.

The NEA was the Ministry for Nature and Environment which was responsible for administering, coordinating and supervising, together with other relevant ministries, agencies, research institutes and non-governmental organizations, the implementation of the first NIP.

For the NIP review and update, the Government has designated the Ministry of Nature, Environment and Tourism (MoNET), which changed subsequently its denomination in "Ministry of Environment and Green Development",<sup>56</sup> as NEA of the project. The Ministry is in charge of the protection of the environment, co-ordination of the actions of the various institutions in this field and the preparation of the supervision of relevant legislations. It is also responsible for the national implementation of actions required under international environmental agreements..

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<i>Capacity Building For Environmentally Sound PCBs Management And Disposal</i>	To create capacity for Environmentally Sound Management (ESM) of PCBs, eliminate PCB releases from the electrical equipment, avoid cross-contamination of electrical equipment and dispose of a minimum of 1,000 tons of PCB wastes.sure
<i>Status: project completion.</i>	
<i>Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm</i>	Implementing agency: UNIDO. The project overall objective aims at reducing and, where feasible, eliminating UP-POPs releases by

<sup>55</sup> The deadline for transmission was July 2006.

<http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>56</sup> As from the endorsment workshop report, the new official denomination and reference is "Ministry of Environment and Green Development

<i>Convention on POPs</i>	capacity building at regional level to implement BAT/BEP measures in the fossil fuel-fired utility and industrial boilers source category including UP-POPs monitoring. The project also aims at simultaneously increasing energy efficiency (Climate Change) and reducing UP-POPs releases (SC) by application of appropriately selected technologies and fuels in the fossil fuel-fired utility and industrial boilers source category..
<i>Status: under implementation</i>	

The following projects are currently in the course of starting: Implementation of the POPs Monitoring Plan in the Asian Region (UNEP, CEO endorsement 15/12 2014); Demonstration of BAT and BEP in Open Burning Activities in Response to the Stockholm Convention on POPs (UNIDO, council approved on 20/06/2013).

The request for funding for the **NIP review and update** was submitted to GEF for approval on 14 June 2012, and approved on 31 July 2012. The total cost of the project is 687,696 US\$ of which 164,696 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 31 October 2012. The implementation of the project started in October 2012 under the overall coordination of the Ministry of Environment and Green Development with UNIDO as the implementing agency.

The project duration is 12 months. The project is in the stage of completion of inventory of POPs. As of 30 November 2014, this is the status of the services provided in each of the three components:

**Table 2: Status of the Services to be provided in each component**

<b>Component</b>	<b>EA Component</b>	<b>Status</b>
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted (co-financing and PMC);	The national coordination mechanism was re-established based on the earlier NIP implementation framework and working groups were formed and contracted. The inception workshop was held. An inception report was drafted.
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	<ul style="list-style-type: none"> <li>- The inception workshop was held.</li> <li>- The following reports were drafted: <ul style="list-style-type: none"> <li>• Inception report and Inventory Training report and submitted on</li> </ul> </li> </ul>
<b>Component 2</b> Inventories of new POPs and NIP review	2.1. Inventories of initial 12 POPs updated and validated by stakeholders;	The inventory validation workshop and the priority workshop were held simultaneously
	2.2. Inventories of new POPs conducted and validated by stakeholders.	<ul style="list-style-type: none"> <li>The following reports were drafted (draft word documents): <ul style="list-style-type: none"> <li>• Dioxin and U-POPs inventory;</li> <li>• Nationwide inventory of POPs</li> </ul> </li> </ul>

		pesticides; <ul style="list-style-type: none"> <li>New POPs – report of industrial POPs Chemicals Inventory.</li> </ul>
<b>Component 3</b> National Capacities Assessment	3.1. National regulatory and policy framework and institutional capacities to manage new POPs assessed;	The following report was drafted: <ul style="list-style-type: none"> <li>Legal assessment of POPs in Mongolia</li> </ul>
	3.2. Prioritization of new POPs risk reduction options based on criteria, cost and benefit and inventory results completed.	A priority workshop was held. The following report was made available: <ul style="list-style-type: none"> <li>Ministry of Nature and Green Development. Report of workshops on inventory validation and priority setting. Ulaanbaatar, Mongolia 22 April, 2014</li> </ul>
4. NIP formulation, endorsement and submission	4.1. Updated and reviewed NIP drafted; 4.2. NIP endorsed by the Government and submitted to the SC Conference of Parties	- Endorsement workshop held. - NIP report drafting is still ongoing

The project deliverables have, in general, complied with the ToR requirements. The overall status of implementation is delayed as the completion date was set to December 2014, however to date the final draft of the updated and reviewed NIP has not been released. An extension of three months has been agreed to 31 March 2015.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
Inception report and inventory training report, Ulanbaatar 7-9 December 2012	54 participants from central government, provincial government, academy and private enterprises.	Women have been involved in the workshops but no specific mention was found to gender balance		Expected date: Not specified  Deliverable date: December 9, 2012  Delay:

<b>Component 2</b> Inventories of new POPs and NIP review				
<p>The following report were drafted (draft word documents):</p> <ul style="list-style-type: none"> <li>• Dioxin and U-POPs inventory;</li> <li>• Nationwide inventory of POPs pesticides;</li> <li>• New POPs – report of industrial POPs Chemicals Inventory</li> </ul>	<p>Training workshop reports delivered under validation workshop report.</p> <p>Participants</p> <p>Up to 42 participants attended the trainings</p>	<p>Women have been involved in the workshops but no specific mention was found to gender balance</p>	<p>Priority setting and validation report jointly submitted under the Validation report (same deadline)</p>	<p>Expected date: not specified.</p> <p>Deliverable date</p> <p>10/12/2013</p>
<p>Report of Workshop on Inventory Validation and Priority setting</p> <p>April 22, 2014</p>	<p>34 representatives from relevant Government Ministries, Departments and Agencies (MDAs), and a private sector company:</p>	<p>Women have been involved in the workshops but no specific mention was found to gender balance</p>		<p>Deliverable date</p> <p>22/04/2014</p>
<p>Report of National Implementation plan</p> <p>Endorsement workshop</p>	<p>It was attended by 60 representatives from relevant Government Ministries, Departments and Agencies (MDAs), and a private sector company:</p>	<p>Women have been involved in the workshops but no specific mention was found to gender balance</p>		<p>Deliverable date:</p> <p>June 26, 2014</p>

#### **Priorities identified in the 1st NIP**

POPs Issues	Capability Building Proposals and Priorities
PCB	Stop usage of PCBs containing equipment, eliminate their stockpiles and wastes in environmentally sound manner and decontaminate polluted sites.
Hazardous waste and POPs waste	Improve management of hazardous wastes, especially medical wastes, used oils, plastics etc, and reduce hazards of POPs wastes by way of eliminating and recycling environmentally friendly methods.
Monitoring of POPs	Build capacity for research and monitoring of POPs chemicals.
Awareness raising	Raise awareness on POPs chemicals among general public and “risk groups” and create a sound information exchange system.
Inventory of U-POPs	Development of proposals for the improvement of the inventory system of PCDD/PCDF, HCB and PCB releases from industrial processes and from non industrial sources, including the updating and verification of emission factors.
Contaminated sites	Restoration of POPs contaminated sites

## Appendix 6: Mozambique



### Project Summary - Mozambique

Mozambique ratified the SC on 31 October 2005 and is a Party since January 2006. The **original NIP** was elaborated with GEF financial support and the technical assistance of UNEP. The enabling activities were approved by GEF in 2002 and the project was completed in December 2005. The NIP was formulated in 2007 and submitted to the SC Secretariat in August 2008<sup>57</sup>, providing an assessment of the POPs issue in the country, outlining the country strategy and its Action Plan, as well as the timelines and milestones and the future actions on implementation, evaluation and updating.

It was elaborated based in a multi stakeholder approach. To ensure effective implementation, the NIP was formulated in line with the National Strategy for Growth and Reduction of Poverty (NSGRP) of 2004 and the Mozambique's Development Vision 2025, both of which call for improvement of quality of life and social wellbeing<sup>58</sup>.

The Government has designated the Ministry for the Coordination of Environmental Affairs (MICOA)<sup>59</sup> as the NEA of the original NIP and its review and update. The National Directorate of Environmental Management in MICOA is the National Focal Point to the SC.

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<p><i>Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Subregion 60</i></p> <p><i>Countries covered: Angola, Lesotho, Swaziland, Tanzania, Mozambique</i></p>	<p>Implementing agencies: UNIDO and UNEP</p> <p>Full Size Regional Project that started in 2010 and is expected to be fully implemented in 2015.</p> <p>Immediate objectives: to create an enabling environment to implement the NIPs in the LDCs of the SADC sub-region by:</p> <ul style="list-style-type: none"> <li>- Establishing/amending laws, regulations, policies, standards;</li> <li>- Strengthening institutions for remediation of contaminated sites;</li> <li>- Introducing BAT/BEP to industrial processes;</li> <li>- Managing municipal wastes including e-wastes, health-care wastes;</li> <li>- Supporting the phasing out of agricultural use of POP pesticides through the promotion of production and use of bio- botanical pesticides;</li> <li>- Promoting technology transfer; facilitating data and information collection and dissemination; and</li> <li>- Ensuring continuous improvement and awareness</li> </ul>

<sup>57</sup> The deadline for transmission was January 2008

<http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>58</sup> 1st NIP Preface, Page 4

<sup>59</sup> <http://www.micoa.gov.mz/>

<sup>60</sup> [http://www.thegef.org/gef/project\\_detail?projID=3942](http://www.thegef.org/gef/project_detail?projID=3942)

	raising of stakeholders on POPs issues.
<i>Status: under implementation</i>	
<i>Demonstration of a regional approach to environmentally sound management of PCB liquid wastes and transformers and capacitors containing PCBs<sup>61</sup></i>	<i>Implementing agency: UNEP Full-sized regional project to carry out needs assessments in order to strengthen national capacities for the environmental sound management, phasing out, treatment and destruction of PCBs and wastes in the participating countries.</i>
Countries covered: Angola, Botswana, Lesotho, Madagascar, Mauritius, Malawi, Mozambique, Namibia, Swaziland, Tanzania, Zambia, Zimbabwe	
<i>Status: GEF has approved the project which is in November 2014 was due to start</i>	
<i>- Reducing the risks of highly hazardous pesticides (HHPs)</i>	<i>Implementing agency: FAO Under the SAICM Quick Start Programme Trust Fund the project aims at identifying the HHPs, develop and action plan to reduce their risk and implement the action plan</i>
<i>Status: under implementation</i>	
<i>Promotion of BAT/BEP to reduce uPOPs releases from waste open burning in the participating African countries of SADC sub region</i>	<i>Implementing agency: UNIDO Regional Full-sized Project aiming to achieve release reduction of unintentionally produced POPs (uPOPs) in the open burning sector of participating African countries of SADC sub-region through introduction of best available techniques and best environmental practices (BAT/BEP) measures at selected priority demonstration sites.</i>
Countries covered: Botswana, Lesotho, Madagascar, Mozambique, Swaziland, Tanzania and Zambia	
<i>Status: Preparation of the project document ongoing, preparatory phase approved in February 2014</i>	

The request for funding for the **NIP review and update**, was submitted to GEF on 25 September 2012 and only approved on 29 May 2013. The total cost of the project is 380 000 US\$ of which 180 000 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 21 August 2013 and the contract between UNIDO and MICOA entered into effect on 24 January 2014.

The aim of the contract is to provide services related with EA activities to review and update the Mozambique's NIP under the SC. Reference to the gender dimension was found in the project funding proposal under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction". The gender dimension is identified as a critical component to be considered during the 2nd NIP process given the different kinds, levels and frequency of new POPs chemicals of women children and men. To be addressed with due regard to UNDO gender policy specific indicators are provided.

The project duration is 12 months<sup>62</sup> and as of 30 November 2014 the project is just starting as summarised below.

<sup>61</sup> [http://addis.unep.org/projectdatabases/01060/project\\_general\\_info](http://addis.unep.org/projectdatabases/01060/project_general_info)

<sup>62</sup> Clause 2.03 of the contract

**Table 2: Status of the Services to be provided in each component**

Component	Services to be Provided	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted	- PCU - the NPC has been designated but not yet the NPM - The Work Plan is under preparation.
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	- NSC re-established but not through formal designation and nomination to UNIDO HQ - Communication strategy of the EA project not foreseen - MICOA website has not been updated with specific information on POPs - Inception Workshop

The overall status of implementation is delayed - the project should have been concluded by January 2015 but the first component started only in October 2014. The inception workshop was held on 27 October 2014 with a delay of 7 months (the initial expected date was 25 March). As of 30 November 2014 the report of the Inception Workshop was still to be submitted. One extension has been agreed for a total period of 10 months- the project is expected to be concluded by 31 October 2015.

**Priorities identified in the 1st NIP:**

POPs chemical Category	Priorities
POP Pesticides	<ul style="list-style-type: none"> <li>Establishing environmentally sound technologies to manage POPs and PIC Pesticides wastes</li> <li>Developing mechanisms for promoting proper management of stockpiles of PIC and POP Pesticides wastes and contaminated sites</li> </ul>
PCBs	<ul style="list-style-type: none"> <li>Developing facilities for disposal of PCBs</li> <li>Establishing clean up and remediation schemes for PCB contaminated sites</li> </ul>
DDT	<ul style="list-style-type: none"> <li>Developing mechanisms for promoting management of stockpiles of DDT wastes</li> <li>Strengthening capacity in DDT management in terms of manpower and infrastructure (Art. 3 and Art. 6).</li> </ul>
PCDD/PCDF	<ul style="list-style-type: none"> <li>Establishing coordination mechanism pertaining to the PCDD/PCDF management</li> <li>Institute mechanism for PCDD/PCDF management</li> </ul>

## Appendix 7: Philippines



### Project Summary - Philippine

The Philippines ratified the SC in 27 February 2004 and is Party since May 2004. The **original NIP** was elaborated with GEF financial support and the technical assistance of UNDP. The NIP, which outlines its programs to meet the Country obligations under the SC was submitted to the Secretariat in June 2006<sup>63</sup>.

The original NIP was prepared taking into consideration the needs of the Philippines in addressing POPs issues in the country. It is formulated taking due account of the overall aims of sustainable development in the sense of socially, economically and environmentally appropriate policies and actions.

In preparation for the development of the NIP the Government has designated, the Environmental Management Bureau (EMB) Department of Environment and Natural Resources<sup>64</sup> as the NEA. The EMB set up the POPs Project Management Office tasked primarily to establish a coordinating mechanism for the development of the NIP. As a result, an Inter-Agency Consultative Committee was formed (DENR Special Order No. 351, Series of 2004). The POPs Inter-Agency Consultative Committee members are representatives from various government agencies and non-government agencies who have direct and indirect involvement in the management and control of chemicals in the Philippines.

EMB was also designated the NEA for the NIP review and update (Decision of DENR of Jan 25 2013) and De La Salle University was assigned under the same DENR Decision to be the technical institution in charge of POPs inventory. UNIDO contracted EMB for component 1 and 4 and De La Salle University for component 2 and 3 of the NIP update and review activities.

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<i>Global Programme to Demonstrate the Viability and Removal of Barriers that Impede Adoption and Successful Implementation of Available, Non-Combustion Technologies for Destroying Persistent Organic Pollutants (POPs)</i>	Implementing agency: UNIDO  This is the second phase of the global programme to demonstrate and promote alternative non-combustion technologies for use in the destruction of obsolete POPs stockpiles. In the Philippine this Program established a large scale dehalogenation unit to destroy the PCBs contained in dielectric oil. It helped in removing barriers to the further adoption and effective implementation of available non-combustion technologies to meet the SC requirement to ensure BAT and BEP for destroying POPs. The project was approved by the GEF in 2007 and is still under implementation.

<sup>63</sup> The deadline for transmission was May 2006

<http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>64</sup> <http://www.denr.gov.ph/>

<i>Status: under implementation.</i>	
<i>Integrated POPs Management Project: Dioxins and Furans, PCB and Contaminated Sites Management</i>	<p>Implementing Agency: World Bank</p> <p>The project development objective is to assist the Philippines in minimizing the risk of human and environmental exposure to POPs by strengthening the regulatory and monitoring framework and improving capacity for and providing demonstrations of, safe management of PCBs, reduction of releases of unintentionally produced POPs, and reduction of exposure to POPs in contaminated sites.</p>
<i>Status: under implementation.</i>	
<i>Demonstrating and Promoting Best Techniques and Practices for Reducing Health-care Waste to Avoid Environmental Releases of Dioxins and Mercury</i>	<p>Implementing agency: UNDP</p> <p>This is a global project aimed at demonstrating BAT/BEP in the management of healthcare waste. Philippine was one of the eight project countries. The main Project activities included: establishment of model facilities and programs exemplifying health-care waste management best practices, and development of replication materials;</p> <ul style="list-style-type: none"> <li>- Deployment and evaluation of non incineration HCW treatment technologies;</li> <li>Introduction of mercury-free devices in model facilities;</li> <li>training programs for best practices and appropriate technologies implementation;</li> <li>dissemination and awareness raising.</li> </ul>
<i>Status: project completion.</i>	
<i>Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm Convention on POPs</i>	<p>Implementing agency: UNIDO</p> <p>The project overall objective aims at reducing and, where feasible, eliminating UP-POPs releases by capacity building at regional level to implement BAT/BEP measures in the fossil fuel-fired utility and industrial boilers source category including UP-POPs monitoring. The project also aims at simultaneously increasing energy efficiency (Climate Change) and reducing UP-POPs releases (Stockholm Convention) by application of appropriately selected technologies and fuels in the fossil fuel-fired utility and industrial boilers source category..</p>
<i>Status: under implementation</i>	

The following projects are currently in the course of starting: Implementation of the POPs Monitoring Plan in the Asian Region (UNEP, CEO endorsement 15/12 2014); Demonstration of BAT and BEP in Open Burning Activities in Response to the SC on POPs (UNIDO, council approved on 20/06/2013).

The request for funding for the **NIP review and update** was submitted to GEF approval on 27 March 2012, and approved on 18 May 2012. The total cost of the project is 450,000 US\$ of which 225,000 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 27 July 2012 and the contract between UNIDO and the Government of Philippines entered into effect on 10 October 2012.

The aim of the contract is to provide services related with EA activities to review and update the Philippine's NIP under the SC. Reference to the gender dimension was found in the project funding proposal under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction".

The project duration is 12 months. All the four components have been concluded although only a draft NIP was made available to the Evaluation team. As of 30 November 2014, this is the status of the services provided in each of the three components:

**Table 2: Status of the Services to be provided in each component**

Component	EA Component	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted (co-financing and PMC);	- PCU established - Work-plan drafted and assigning specific responsibilities among Gov. departments and De La Salle University (DLSU)
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	- Several meetings for Focus Group Discussion and Key Informant Interviews held (Department of Agriculture; Food and Drug administration; Bureau of Customs; Bureau of Fire Protection); Translation of POPs brochure to Filipino; establishment of a POPs website under the EMB website.
	1.1. Project coordination mechanism re-established and working groups formed and contracted (co-financing and PMC);	- Re-establishment of the NSC of the original NIP by Decision of DENR of Jan 25 2013. The De LaSalle University was in charge of the practical development of NIP update.
<b>Component 2</b> Inventories of new POPs and NIP review	2.1. Inventories of initial 12 POPs updated and validated by stakeholders; 2.2. Inventories of new POPs conducted and validated by stakeholders.	<i>The inventory of the initial 12 POPs was updated and the inventory of new POPs conducted.</i>  The following reports have been produced: <ul style="list-style-type: none"> <li>• Consolidate Inventory Report (De La Salle University, Nov. 15, 2013)</li> <li>• Report on Inventory Validation Workshop July 31, 2013 - 14 ;</li> <li>• Annexes to the Report on Inventory Validation Workshop July 31, 2013 - 14 (Part A, B and C)</li> </ul>
<b>Component 3</b> National Capacities Assessment	3.1. National regulatory and policy framework and institutional capacities to manage new POPs assessed;	The national regulatory and policy framework assessment is included in the Final - Updated (2013) National Implementation plan
	3.2. Prioritization of new POPs risk reduction options based on criteria, cost and benefit and inventory results completed.	A priority workshop was held in Dec 10, 2013. The priority workshop report was not held by UNIDO HQ or made available to the consultant.
<b>Component 4</b> NIP formulation, endorsement and submission	4.1. Updated and reviewed NIP drafted; 4.2. NIP endorsed by the Government and submitted to the SC Conference of Parties	The final NIP report has been drafted and made available to the consultant during the site visit to the country.  The final NIP was not endorsed yet

The project deliverables have, in general, complied with the ToR requirements in spite of some missing information (mainly report concerning inception and priority setting workshops). The project is delayed as the NIP update and review report, provided directly to the consultant by the NEA, is dated from 14 July 2014 whilst the expected deliverable date was October 2013.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
Interim report (DENR) Inception Workshop report (DLSU)	Up to 48 participants for each meeting, pertaining to various governmental, academic and industrial bodies as from attached list of participants	Women have been involved in the workshops but no specific mention was found to gender balance	Inception report not available	Expected date: 04/11/2012
				Deliverable date: April 2013 (date of the 1st NSC meeting)
				Delay: Several months.
<b>Component 2</b> Inventories of new POPs and NIP review				
Priority setting and Validation report National Inventory Validation Workshop Report on Inventory Validation Workshop July 31, 2013 - 14 ;	Training workshop reports delivered under validation workshop report. Participants Up to 42 participants attended the trainings	Women have been involved in the workshops but no specific mention was found to gender balance	Priority setting and validation report jointly submitted under the Validation report (same deadline)	Expected date: 1/8/2013 Deliverable date 10/12/2013 Delay: 4 months
Preliminary Inventory Report (Delivered: Consolidated inventory report )	N/A	N/A		Expected date: 5/10/2013 Deliverable date 15/11/2013 Delay: 1 month

<b>Component 3 National capacities assessment and priority setting for management of new POPs</b>				
Priority setting workshop	N/A	N/A	N/A	Expected date: 5/10/2013  Report not made available.
<b>Component 4. NIP formulation, endorsement and submission</b>				
Final –updated (2013) national implementation plan for Stockholm Convention on POPs	N/A	A specific section on gender issue included under socio-economic assessment	A final draft in word made available. The draft not yet endorsed by the GoP or submitted to the SC	Expected date: 5/10/2013  Deliverable date 14/7/2014  Delay: 9 months

### Priorities identified in the 1st NIP

POPs Issues	Capability Building Proposals and Priorities
POPs pesticides	Training of field inspectors on how to conduct inspection and identification of POPs pesticides (including health and safety measures) Formulate methodologies and guidelines for inspection, retrieval, and proper disposal of POPs pesticides
PCBs	<ul style="list-style-type: none"> <li>• Preparation of guidelines for PCB inventories, including standard protocols for sampling and test methods</li> <li>• Training on identification and sampling</li> <li>• Guidelines on storage and safe handling, transportation, servicing/retrofilling and repair</li> <li>• Training of TSD facility operators</li> <li>• Inventory of PCBs</li> <li>• Code of practice and mechanism for accreditation of servicing facilities</li> </ul>
D/Fs:	<ul style="list-style-type: none"> <li>• On-going work on improved inventory procedures</li> <li>• Emission factor validation</li> <li>• Development of sampling and analytical capability</li> <li>• Assessment of command-and-control and market-based instrument policies</li> </ul>
Contaminated sites	<ul style="list-style-type: none"> <li>• Identification and management of contaminated sites</li> <li>• Development of guidelines with criteria for contaminated sites identification</li> <li>• Development of measures for management and clean-up of contaminated sites</li> </ul>

Cross Cutting Capability Building Activities	<ul style="list-style-type: none"><li>• Development and demonstration of BAT/BEP</li><li>• Environmental monitoring</li><li>• Health impact monitoring to include diagnosing POPs related cases</li><li>• Information, education, and communication</li></ul>
--	---

## Appendix 8: Swaziland



### Project Summary - Swaziland

The Kingdom of Swaziland has acceded to the Stockholm Convention on 13 January 2006 and is a Party since April 2006. The **original NIP** was elaborated with GEF financial support and the technical assistance of UNIDO and preceded, in 2002, by a project preparatory with UNIDO's technical support. The enabling activities were approved by GEF in 2008. The NIP was formulated in November 2010 and submitted to the SC Secretariat in June 2011<sup>65</sup>, outlining strategies, objectives, priority activities and their timelines.

It was elaborated based in a multi stakeholder approach<sup>66</sup>. To ensure effective implementation, the NIP was formulated in line with the 1999 National Development Strategy (NDS) and the 1997 Millennium Development Goals (MDGs). The NDS identifies environmental protection as a cornerstone in the national development process. However the existent policy frameworks do not specifically address POPs<sup>67</sup>.

The Government has designated the Swaziland Environment Authority (SEA)<sup>68</sup>, which is under the Ministry of Tourism and Environmental Affairs (MTEA)<sup>69</sup>, as the NEA of the original NIP and its review and update. SEA is a government parastatal established under the Environmental Management Act (2002). The Environmental Assessment and Compliance Department in SEA is the National Focal Point to the SC. The overview of the environmental legislation is provided at SEA website<sup>70</sup>:

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<p><i>Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC Subregion</i><sup>71</sup></p> <p>Countries covered: Angola, Lesotho, Swaziland, Tanzania, Mozambique</p>	<p>Implementing agency: UNIDO/UNEP</p> <p>Full Size Regional Project that aims at creating an enabling environment to implement the NIPs in the LDCs of the SADC sub-region by:</p> <ul style="list-style-type: none"> <li>- Establishing/amending laws, regulations, policies, standards;</li> <li>- Strengthening institutions for remediation of contaminated sites;</li> </ul>

<sup>65</sup> The deadline for transmission was April 2008

<http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>66</sup> Entities involved in the formulation of the 1st NIP: Ministry of Health, Ministry of Agriculture, Ministry of Commerce, Industry and Trade, Ministry of Economic Planning and Development, Ministry of Housing and Urban Development, Department of Customs and Excise, Swaziland Electricity Company, Swaziland Investment Promotion Authority, Federation of Swaziland Employers and Chamber of Commerce, the University of Swaziland and Non- Governmental Organizations.

<sup>67</sup> 1st NIP - Institutional, policy and regulatory framework (pag 8), November (2010)

<sup>68</sup> <http://www.sea.org.sz/>

<sup>69</sup> [http://www.gov.sz/index.php?option=com\\_content&view=article&id=257&Itemid=277](http://www.gov.sz/index.php?option=com_content&view=article&id=257&Itemid=277)

<sup>70</sup> <http://www.sea.org.sz/pages.asp?pid=46>

<sup>71</sup> [http://www.thegef.org/gef/project\\_detail?projID=3942](http://www.thegef.org/gef/project_detail?projID=3942)

	<ul style="list-style-type: none"> <li>- Introducing BAT/BEP to industrial processes;</li> <li>- Managing municipal wastes including e-wastes, health-care wastes;</li> <li>- Supporting the phasing out of agricultural use of POP pesticides through the promotion of production and use of bio- botanical pesticides;</li> <li>- Promoting technology transfer; facilitating data and information collection and dissemination; and</li> <li>- Ensuring continuous improvement and awareness raising of stakeholders on POPs issues.</li> </ul>
<p><i>Note: originally Swaziland should not be covered as it is not an LCD.</i></p> <p><i>Status: under implementation</i></p>	
<p><i>Managing and safeguarding obsolete pesticides</i><sup>72</sup></p>	<p>Implementing agency: FAO</p> <p>The project seeks to remove obsolete pesticides collected all over the country and stored at Kalanga RDA in the Lubombo Region.</p>
<p><i>Status: completed - the stocks have been exported and they are rehabilitating the storage site</i></p>	
<p><i>Developing an integrated national programme for the sound management of chemicals and SAICM implementation in Swaziland</i><sup>73</sup></p>	<p>Implementing agency: UNITAR</p> <p>Under SAICM this project aims at developing a comprehensive assessment of national infrastructure, relating to the legal, institutional, administrative and technical aspects of chemicals management and establish a national governance framework for SAICM implementation.</p>
<p><i>Status: almost completed - very positive outputs regarding capacity building and review of legislation</i></p>	
<p><i>Establishment of an efficient and effective data collection and reporting procedures for evaluating the continued need of DDT for disease vector control</i></p>	<p>Implementing agency: WTO</p> <p>The project aims at improving the SC's Parties capacity to complete and timely report on use of DDT and its alternatives increasing the availability of comprehensive data sets on DDT for global evaluation by the CoP.</p>
<p><i>Status: on going - should have been completed by June/2014 but was extended - expected to be concluded by December/2014</i></p>	
<p><i>Demonstration of Effectiveness of Diversified, Environmentally Sound and Sustainable Interventions, and Strengthening National Capacity for Innovative Implementation of Integrated Vector Management (IVM) for Disease Prevention and Control in the WHO AFRO Region</i><sup>74</sup></p> <p>Countries covered: Swaziland,</p>	<p>Implementing agency: WHO</p> <p>The specific objectives of this Full Size Regional project are to:</p> <ul style="list-style-type: none"> <li>- Support countries to demonstrate effectiveness of diversified, environmentally safe innovative vector control methods including use of chemicals within the context of IVM;</li> <li>- Promote evidence-based multi-sectoral policy-making</li> </ul>

<sup>72</sup> <http://www.fao.org/agriculture/crops/obsolete-pesticides/what-now/world-projects/en/>

<sup>73</sup> <http://www.unitar.org/cwm/saicm/enabling-activities>

<sup>74</sup> [http://addis.unep.org/projectdatabases/00746/project\\_general\\_info](http://addis.unep.org/projectdatabases/00746/project_general_info)

<p>Madagascar, Tanzania, Kenya, Zambia, Namibia, South Africa, Botswana, Liberia, Senegal, Ethiopia, Gambia, Zimbabwe, Uganda and Mozambique</p>	<p>for IVM and strengthen multi-sectoral alliance in the promotion and implementation of environmentally sound and effective innovative interventions for diseases vector control;</p> <ul style="list-style-type: none"> <li>- Strengthen national capabilities for implementation and scaling up of evidence-based, environmentally sound and innovative interventions for disease vector control with special emphasis on malaria;</li> <li>- Sub-regional collaboration and coordination, dissemination and sharing of country experiences;</li> <li>- Strengthen knowledge and capacity of national and international NGOs and CSOs for promotion and implementation of environmentally sound, effective and innovative interventions for disease vector control with special focus on malaria, and</li> <li>- Increase awareness and involvement of communities in the implementation of environmentally sound and effective innovative interventions for diseases vector control.</li> </ul>
<p><i>Status: under implementation</i></p>	
<p><i>Demonstration of a regional approach to environmentally sound management of PCB liquid wastes and transformers and capacitors containing PCBs<sup>75</sup></i></p> <p>Countries covered: Angola, Botswana, Lesotho, Madagascar, Mauritius, Malawi, Mozambique, Namibia, Swaziland, Tanzania, Zambia, Zimbabwe</p>	<p>Implementing agency: UNEP</p> <p>Full Size Regional Project to carry out needs assessments in order to strengthen national capacities for the environmental sound management, phasing out, treatment and destruction of PCBs and wastes in the participating countries.</p>
<p><i>Status: GEF has approved the project which is in November 2014 was due to start</i></p>	
<p><i>Promotion of BAT/BEP to reduce uPOPs releases from waste open burning in the participating African countries of SADC subregion</i></p> <p>Countries covered: Botswana, Lesotho, Madagascar, Mozambique, Swaziland, Tanzania and Zambia</p>	<p>Implementing agency: UNIDO</p> <p>Regional Full-sized Project aiming to achieve release reduction of unintentionally produced POPs (uPOPs) in the open burning sector of participating African countries of SADC sub-region through introduction of best available techniques and best environmental practices (BAT/BEP) measures at selected priority demonstration sites.</p>
<p><i>Status: Preparation of the project document ongoing, preparatory phase approved in February 2014</i></p>	

Two new projects have been formulated and are both in the PIF stage: one with regard to open burning and the other on E-waste to be implemented with the support of the African Institute.

<sup>75</sup> [http://addis.unep.org/projectdatabases/01060/project\\_general\\_info](http://addis.unep.org/projectdatabases/01060/project_general_info)

The request for funding for the **NIP review and update** was submitted to GEF approval on 14 June 2012, and approved on 6 December same year. The total cost of the project is 433 000 US\$ of which 198 000 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 8 March 2013 and the contract between UNIDO and SEA entered into effect on 29 of April 2013.

The aim of the contract is to provide services related with EA activities to review and update the Swaziland's NIP under the SC. Reference to the gender dimension was found in the project funding proposal under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction".

The project duration is 10 months<sup>76</sup>. Three of the four components have been concluded and the final is expected to start by the end of 2014 with the aim of having the reviewed and updated NIP submitted to CoP 7 (2015). As of 30 November 2014, this is the status of the services provided in each of the three components:

**Table 2: Status of the Services to be provided in each component**

Component	Services to be Provided	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted	<ul style="list-style-type: none"> <li>- PCU established</li> <li>- Work-plan drafted but without assigning responsibilities among Gov. departments</li> <li>- NSC re-established (but not through formal designation) and submission of official letter to UNIDO HQ on the composition of the NSC<sup>77</sup></li> </ul>
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	<ul style="list-style-type: none"> <li>- Communication strategy of the EA project not elaborated: have recruited an information officer to work on the website and awareness campaigns</li> <li>- Inception Workshop held with high level participation Principal Secretary's representative</li> </ul>
<b>Component 2</b> Inventories of new POPs and NIP review	2.1. Inventories of initial 12 POPs updated and validated by stakeholders; 2.2. Inventories of new POPs conducted and validated by stakeholders.	<ul style="list-style-type: none"> <li>- Training workshop on new POPs held</li> <li>- Inventories elaborated</li> <li>- Inventories validation workshop held</li> </ul>

<sup>76</sup> Clause 2.03 of the contract

<sup>77</sup> The NSC is composed by 24 members representing the following entities: SEA; Ministry of Labor and Social Welfare; Ministry of Health; Ministry of Economic Planning and Development; Ministry of Agriculture; Ministry of Commerce, Industry and Trade; University of Swaziland; Central Bank of Swaziland; Swaziland Cotton Board; Sherq Forum; Swaziland Electricity Company; Consumer Forum; Swaziland Standards Authority; Housing and Urban Development; and Thawla and Attorneys.

<b>Component 3</b> National Capacities Assessment	3.1. National regulatory and policy framework and institutional capacities to manage new POPs assessed	ToR drafted and Independent Expert selected and recruited to review the inventories and assessment including the outlining of new POPs related human health and environmental issues of concern
	3.2. Prioritization of new POPs risk reduction options based on criteria, cost and benefit and inventory results completed.	- Priority setting and validation workshop held

The project deliverables have, in general, complied with the ToR requirements in spite of some missing information identified below. The overall status of implementation is delayed - the project should have been concluded by the end of February 2014 but the 4th component has not yet been initiated. Two extensions have been agreed for a total period of 14 months - the project is expected to be concluded by 30 June 2015.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
Report Inception Workshop (24pag) <sup>78</sup>	31 from different entities with contact details	Women have been involved in the workshops but no specific mention was found to gender balance	-Presentations -Background documents	Expected date: 29/05/2013
				Deliverable date: 12/06/2013
				Delay: Less than 1 month
<b>Component 2</b> Inventories of new POPs and NIP review				

<sup>78</sup> 1 Day *Inception Workshop*: the report should include all the presentations made, a list of participants with contact details and gender, workshop results as well as a list of background documents (indicative size of 30 pages is acceptable), ToR (page 3)

Report Training Workshop <i>(report and provisional agenda provided by NPC as this information was not held by UNIDO HQ)</i>	40 including UNIDO international consultant	Specific reference made in the report of the training workshop		Deliverable Training workshop date: 8-10/12/2013 <i>(expected date not foreseen in the ToR)</i>
The following inventories were drafted: - Review and Update of the National Inventory Report on POPs-Pesticides; - Inventory Report on Industrial Chemicals and Contaminated Sites; - PCDD/PCDF Inventory. The following report was drafted: - Review and Update of Legal, Institutional & Policy Frameworks				Deliverable of inventories May/2014
Report National Inventory Validation Workshop (49 pag) <sup>79</sup>	National Inventory Validation workshop - 57 from different entities with contact details	Women have been involved in the workshops but no specific mention was found to gender balance	-Executive Summary -Background documents	Expected date: 25/12/2013 Deliverable date: 21/03/2014 Delay:

<sup>79</sup> 1 Day *National Inventory Validation Workshop*: the final inventories and assessments workshop report should include an executive summary, a list of participants with contact details, results achieved as well as a list of background documents (indicative size of 100 to 150 pages is acceptable), ToR (page 4)

				3 months
<b>Component 3</b> National capacities assessment and priority setting for management of new POPs				
National Validation on Priorities and Objectives for the review and update of the NIP <sup>80</sup> (24 pag)	Priority setting and validation workshop - 57 from different entities with contact details	Women have been involved in the workshops but no specific mention was found to gender balance	National Objectives and Priorities based on criteria, cost and benefit and inventory results	Expected date: 24/01/2014
				Deliverable date: 23/09/2014
				Delay: 8 months

### Priorities identified in the 1st NIP:

N°	Thematic Area	Priority
01	Institutional, Policy and Regulatory Framework	Enactment and upgrading of legislation that allows the country to address POPs as well as capacity building for key institutions.
02	Annex A, Part 1, Chemical - Pesticides	Phasing out of residual usages, prevention of future accumulation of POP pesticides and management of contaminated sites (Art. 3 and Art. 6).
03	Annex A, Part 2 Industrial Chemicals – PCBs	Establish a programme to systematically replace all PCB contaminated equipment (phase out program) and develop strategy for and ESM of waste and contaminated sites (Art. 3 and Art. 6).
04	Annex B Pesticides – DDT	Seeking alternatives to phase out the use of DDT, minimize human exposure and environmental contamination from DDT (Art.3; 4 and 6).
05	Annex C, PCDD/PCDF	Improve waste management and introduce BAT/BEP in the industry and other relevant sectors (Art. 5)
06	Public Awareness, Information and Education	Development of communication, education and training strategy on POPs and their alternatives (Art. 9 and Art. 10).
07	Participation in International Activities and Programmes in the field of POPs	Support the work of the POPs Review Committee, report to Convention and participate in the effectiveness evaluation (Art. 8 , Art. 15 and Art. 16).
08	Reporting, Monitoring and Evaluation	Building capacity for monitoring, evaluation and reporting on POPs at national, regional and international levels (Art. 15 and Art. 16).
09	Research &	Technical capacity to laboratories and research institutions to

<sup>80</sup> 2 Day Priority Validation Workshop: the NPC will prepare a report, setting out criteria, national objectives and priorities, taking into account the comments made by the NSC and workshop participants, ToR (page 5)

	Development on POPs and alternatives	analyze and research on POPs (Art. 11).
10	Technical and Financial Assistance	Need of support from the International Community for national capacity strengthening and additional funding to implement the NIP (Art. 12 ; 13 and 14)

## Appendix 9: Tanzania



### Project Summary - Tanzania

The United Republic of Tanzania has ratified the SC on 30 of April 2004 and is a Party since July 2004. The **original NIP** was elaborated with GEF financial support and the technical assistance of UNIDO. The enabling activities were approved by GEF in February 2002. The NIP was formulated in December 2005 and submitted to the SC Secretariat in June 2006<sup>81</sup>, outlining strategies, objectives, priority activities and their timelines.

It was elaborated based in a multi stakeholder approach including representatives from sectors of Environment, Finance, Health, Communication and Transport, Agriculture, Industry, Energy, and Local Government and Private sector. To ensure effective implementation, the NIP was formulated in line with the National Strategy for Growth and Reduction of Poverty (NSGRP) of 2004 and the Tanzania's Development Vision 2025, both of which call for improvement of quality of life and social wellbeing. The Millennium Development Goals (MDGs) serves as the guiding targets for the NSGRP on reducing poverty, diseases and environmental degradation.

The Division of Environment (DoE)<sup>82</sup> at the Vice President Office has been designated as the NEA of the original NIP and its review and update. The DoE was established in 1991 under the Ministry of Natural Resources and Tourism. In 1995, the DoE was transferred to the Vice President's Office to give it the requisite priority and attention on promoting the environmental agenda in Tanzania

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<i>Strengthening the capacity of agricultural workers' organization in the implementation of SAICM at enterprise and community levels (2007-2009)</i>	Implementing agency: UNITAR Under the (SAICM) Quick Start Program Trust Fund the project covered the thematic areas risk reduction (empty container immobilization and awareness raising) and capacity building (training and information management). The overall objective of the project was to build the capacity of workers and communities for their effective participation in the SAICM GPA and the African Region Action Plan. The immediate objective of the project was to reduce the risk posed to human health and the environment by the utilization of empty contaminated containers for domestic purposes.
<i>Status: suspended due to failure in demonstrating progress</i>	
<i>Demonstrating and promoting best techniques and practices for reducing health-care waste to avoid environmental releases of dioxins and mercury</i> Global Healthcare Waste Project Countries covered: Argentina, India, Latvia, Lebanon, Philippines, Senegal,	Implementing agency: UNDP This regional project is under implementation to assist the strategically selected countries in developing and sustaining feasible and replicable best healthcare waste management practices. The project's overall objective is to reduce environmental releases of dioxins and mercury by promoting best techniques and practices for reducing and managing

<sup>81</sup> The deadline for transmission was July 2006

<http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>82</sup> <http://www.vpo.go.tz/environment/utawala.php>

Tanzania and Vietnam	<p>health care waste.</p> <p>The Project will demonstrate the effectiveness of non-combustion health-care waste treatment technologies, waste management practices and other techniques to avoid environmental releases of dioxins and mercury in eight countries representing a range of income and indebtedness classifications, four of the six official UN languages and all of the world's five development regions. In each participating country, the Project will develop best practice health-care waste management models through collaborations with at least one large hospital, as well as with an appropriate combination of smaller clinics, rural health and/or injection programs and pre-existing central treatment facilities.<sup>83</sup></p>
<i>Status: project completed</i>	
<p><i>Pilot project to demonstrate, install and evaluate existing off-the-shelf non-incineration medical waste treatment technologies at Bagamoyo District Hospital</i></p>	<p>Implementing agency: UNDP</p> <p>The objective of the project is to demonstrate the alternative treatment of healthcare waste is the concept that can work within African context.</p> <p>The project resulted in the increased capacity of local personnel in the application of innovative non-incineration solutions for the final disposal of infectious medical waste in Bagamoyo.</p> <p>The project supported Tanzania in reducing barriers to the implementation of the convention obligations and reduction of u-POPs releases.</p>
<i>Status: completed</i>	
<p><i>Reducing u-POPs and Mercury releases from the health sector in Africa</i></p> <p>Countries covered: Ghana, Madagascar, Tanzania and Zambia</p>	<p>Implementing agency: UNDP</p> <p>The objectives of this Full Size Regional project are to:</p> <ul style="list-style-type: none"> <li>- Implement best environmental practices and non-incineration and mercury-free technologies to help African countries meet their SC's obligations and to reduce mercury use in healthcare;</li> <li>- Ensure the availability and affordability of non-incineration waste treatment technologies in the region, building on the outcomes of the GEF supported UNDP/WHO/HCWH Global Medical Waste project.</li> </ul>
<i>Status: under implementation</i>	
<p><i>Demonstration of Effectiveness of Diversified, Environmentally Sound and Sustainable Interventions, and Strengthening National Capacity for Innovative Implementation of Integrated Vector Management (IVM) for Disease Prevention and Control in the WHO AFRO Region<sup>84</sup></i></p> <p>Countries covered: Swaziland, Madagascar, Tanzania, Kenya, Zambia, Namibia, South Africa, Botswana, Liberia, Senegal, Ethiopia, Gambia, Zimbabwe, Uganda and</p>	<p>Implementing agency: WHO</p> <p>The specific objectives of this Full Size Regional project are to:</p> <ul style="list-style-type: none"> <li>- support countries to demonstrate effectiveness of diversified, environmentally safe innovative vector control methods including use of chemicals within the context of IVM;</li> <li>- promote evidence-based multi-sectoral policy-making for IVM and strengthen multi-sectoral alliance in the promotion and implementation of environmentally sound and effective innovative interventions for diseases vector control;</li> </ul>

<sup>83</sup> Link for Tanzania <http://www.gefmedwaste.org/article.php?list=type&type=15>

<sup>84</sup> [http://addis.unep.org/projectdatabases/00746/project\\_general\\_info](http://addis.unep.org/projectdatabases/00746/project_general_info)

Mozambique	<ul style="list-style-type: none"> <li>- strengthen national capabilities for implementation and scaling up of evidence-based, environmentally sound and innovative interventions for disease vector control with special emphasis on malaria;</li> <li>- (sub) regional collaboration and coordination, dissemination and sharing of country experiences;</li> <li>- strengthen knowledge and capacity of national and international NGOs and CSOs for promotion and implementation of environmentally sound, effective and innovative interventions for disease vector control with special focus on malaria, and</li> <li>- increase awareness and involvement of communities in the implementation of environmentally sound and effective innovative interventions for diseases vector control.</li> </ul>
<i>Status: under implementation</i>	
<p><i>Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed countries (LDCs) of the SADC Subregion</i><sup>85</sup></p> <p>Countries covered: Angola, Lesotho, Swaziland, Tanzania, Mozambique</p>	<p>Implementing agency: UNIDO/UNEP</p> <p>Full Sized Regional Project that aims at creating an enabling environment to implement the NIPs in the LDCs of the SADC sub-region by:</p> <ul style="list-style-type: none"> <li>- Establishing/amending laws, regulations, policies, standards;</li> <li>- Strengthening institutions for remediation of contaminated sites;</li> <li>- Introducing BAT/BEP to industrial processes;</li> <li>- Managing municipal wastes including e-wastes, health-care wastes;</li> <li>- Supporting the phasing out of agricultural use of POP pesticides through the promotion of production and use of bio- botanical pesticides;</li> <li>- Promoting technology transfer; facilitating data and information collection and dissemination; and</li> <li>- Ensuring continuous improvement and awareness raising of stakeholders on POPs issues.</li> </ul>
<i>Status: under completion (expected to be fully implemented by March 2016)</i>	
<p><i>Promotion of BAT/BEP to reduce uPOPs releases from waste open burning in the participating African countries of SADC subregion</i></p> <p>Countries covered: Botswana, Lesotho, Madagascar, Mozambique, Swaziland, Tanzania and Zambia</p>	<p>Implementing agency: UNIDO</p> <p>Regional Full-sized Project aiming to achieve release reduction of unintentionally produced POPs (uPOPs) in the open burning sector of participating African countries of SADC sub-region through introduction of best available techniques and best environmental practices (BAT/BEP) measures at selected priority demonstration sites.</p>
<i>Status: Preparation of the project document ongoing, preparatory phase approved in February 2014</i>	
<p><i>Demonstration of a regional approach to environmentally sound management of PCB liquid wastes and transformers and capacitors containing PCBs</i><sup>86</sup></p>	<p>Implementing agency: UNEP</p> <p>Full Size Regional Project to carry out needs assessments in order to strengthen national capacities for the environmental sound management, phasing out, treatment and destruction of PCBs and wastes in the</p>

<sup>85</sup> [http://www.thegef.org/gef/project\\_detail?projID=3942](http://www.thegef.org/gef/project_detail?projID=3942)

<sup>86</sup> [http://addis.unep.org/projectdatabases/01060/project\\_general\\_info](http://addis.unep.org/projectdatabases/01060/project_general_info)

Countries covered: Angola, Botswana, Lesotho, Madagascar, Mauritius, Malawi, Mozambique, Namibia, Swaziland, Tanzania, Zambia, Zimbabwe	participating countries.
<i>Status: GEF has approved the project which is in November 2014 was due to start</i>	

The request for funding for the **NIP review and update** was submitted to GEF approval on 21 August 2012, and approved a few days later. The total cost of the project is 420 000 US\$ of which 210 000 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 17 December 2012 and the contract between UNIDO and SEA entered into effect on 26 of June 2013.

The aim of the contract is to provide services related with EA activities to review and update the Swaziland's NIP under the SC. Reference to the gender dimension was found in the project funding proposal under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction".

The project duration is 12 months<sup>87</sup>. Component 1 has been concluded and component 2 is under implementation. As of 30 November 2014 this is the status of the services provided in each of the two components:

---

<sup>87</sup> Clause 2.03 of the contract

**Table 2: Status of the Services to be provided in each component**

Component	Services to be Provided	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted	- Five Task teams identified, selected and recruited in charge of: Institutional and Regulatory Framework; New POPs Pesticides; New Industrial POPs; New u-POP; Zanzibar - all initial and new POPs. - Scope, Membership and Work Plan of each of the Task Teams drafted and submitted in March 2014.
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	- NSC re-established but not through formal designation and nomination to UNIDO HQ <sup>88</sup> - No communication strategy of EA projects elaborated and no information on POPs found in the DoE website - Inception Workshop was held with high level participation
<b>Component 2</b> Inventories of new POPs and NIP review	2.1. Inventories of initial 12 POPs updated and validated by stakeholders; 2.2. Inventories of new POPs conducted and validated by stakeholders.	- Training workshop on new POPs held - The collection of data has been finalized except for industrial waste since there are many sources in Dar es Salaam <sup>89</sup>

The project deliverables have, in general, complied with the ToR requirements in spite of some missing information identified below. The overall status of implementation is delayed - the project should have been concluded by the end of June 2014 but the 2nd Component has not yet been completed. Two extensions have been agreed for a total period of 14 months - the project is expected to be concluded by 31 August 2015.

<sup>88</sup> The NSC is composed by 15 members representing the following entities: Vice President's Office; Ministry of Agriculture, First Vice President's Office - Zanzibar; Food Security and Cooperatives; Ministry of Energy and Minerals; Ministry of Finance, Ministry of Industries and Trade; Ministry of Health and Welfare; Ministry of Transport; Tropical Pesticides Research Institute; Cleaner Production Centre of Tanzania; Tanzania Electric Supply Company; NEMC

<sup>89</sup> In accordance with information provided during the interview with the country representative discussion of the inventories with the WG is expected to take place in December and the Validation Workshop to be organized in January 2015.

The table below summarizes the deliverables produced up to 30 November 2014.

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
Report Inception Workshop (24pag) <sup>90</sup> <i>Note: The training Workshops was held together with the Inception Workshop over 4 days and a joint Report submitted</i>	31 from different entities with contact details - PM attended	Reference is made in the report to the gender dimension and mainstream through the project cycle - 30 minutes of the programme allocated	-Presentations -Background documents	Expected date: 26/07/2013
				Deliverable date: 11-14/02/2014
				Delay: 7 months
<b>Component 2</b> Inventories of new POPs and NIP review				
<i>Report Training Workshop submitted together with the Inception Report</i>	31 from different entities with contact details - PM attended	Reference is made in the report to the gender dimension and mainstream through the project cycle - 30 minutes of the programme allocated		<i>Held together with the Inception Workshop</i>

<sup>90</sup> 1 Day Inception Workshop: the report should include all the presentations made, a list of participants with contact details and gender, workshop results as well as a list of background documents (indicative size of 30 pages is acceptable), ToR (page 3)

**Overview of priorities as defined under the first NIP:**

POPs chemical Category	Priorities
POP Pesticides	<ul style="list-style-type: none"> <li>• Establishing environmentally sound technologies to manage POPs and PIC Pesticides wastes</li> <li>• Developing mechanisms for promoting proper management of stockpiles of PIC and POP Pesticides wastes and contaminated sites</li> </ul>
PCBs	<ul style="list-style-type: none"> <li>• Developing facilities for disposal of PCBs</li> <li>• Establishing clean up and remediation schemes for PCB contaminated sites</li> </ul>
DDT	<ul style="list-style-type: none"> <li>• Developing mechanisms for promoting management of stockpiles of DDT wastes</li> <li>• Strengthening capacity in DDT management in terms of manpower and infrastructure</li> </ul>
PCDD/PCDF	<ul style="list-style-type: none"> <li>• Establishing coordination mechanism pertaining to the PCDD/PCDF management</li> <li>• Institute mechanism for PCDD/PCDF management</li> </ul>

## Appendix 10: Zambia



### Project Summary - Zambia

Zambia ratified the SC on 7 July 2006 and is a Party since October 2006. The **original NIP** was elaborated with GEF financial support and the technical assistance of UNEP. The NIP was formulated in April 2007 and submitted to the SC Secretariat in May 2009<sup>91</sup>, outlining strategies, objectives, priority activities and their timelines.

It was elaborated based in a multi stakeholder approach<sup>92</sup>. To ensure effective implementation, the NIP was formulated in line with the Zambian Fifth National Development Plan (FNDP), Vision 2030 and the Millennium Development Goals (MDGs).

The Government has designated the Environmental Council of Zambia (ECZ) as the NEA of the first NIP. Presently ECZ is known as the Zambia Environmental Management Agency (ZEMA)<sup>93</sup> which was established under the Environmental Management Act of 2011 as a statutory body of the Ministry of Lands, Natural Resources and Environmental Protection (MLNREP). ZEMA is the National Focal Point for SC in charge of elaborating the NIP review and update.

The Environmental Management Act (n.º 12 of 2011)<sup>94</sup> was reviewed as a consequence of the 1st NIP requiring, namely a Pesticide and toxic substance license for "manufacture, import, export, store, distribute, transport, blend, process, re-process or change the their composition". The License Regulation of 2013<sup>95</sup> entitles MLNREP on ZEMA advise to "ban, severely restrict or restrict the use or production of a pesticide or toxic substance" when their unregulated use or production "is or is likely to be harmful to human health, animal or plant life or the environment". A list of such pesticides and toxic substances shall be published "in a daily newspaper of general circulation in Zambia within seven days of the ban or restriction". It is expected that the 2nd NIP will assist ZEMA in enforcing such list.

---

<sup>91</sup> The deadline for transmission was October 2008

<http://chm.pops.int/Implementation/NIPs/NIPSubmissions/tabid/253/Default.aspx>

<sup>92</sup> Entities involved in the formulation of the 1st NIP: Ministry of Tourism, Environment and Natural Resources; Ministry of Health; Ministry of Labour and Social Security; Ministry of Agriculture and Co-operatives; Ministry of Mines and Minerals Development; Ministry of Science, Technology and Vocational Training; Ministry of Education; Ministry of Commerce, Trade and Industry; Ministry of Energy and Water Development; Food and Drugs Control Laboratory; National Institute for Scientific and Industrial Research; National Malaria Control Centre; Zambia Agriculture Research Institute; Zambia Bureau of Standards; Zambia Revenue Authority and some institutions of higher learning.

<sup>93</sup> <http://www.zema.org.zm/>

<sup>94</sup> <http://www.zema.org.zm/index.php/environmental-legislation>

<sup>95</sup> Copy provided by country representative

**Table 1: Post-NIP Projects related to POPs are currently being implemented**

Project	General Description
<p><i>Update of Zambia's national chemicals management profile<sup>96</sup>, development of a national SAICM capacity assessment and a national SAICM priority setting workshop</i></p>	<p>Implementing agency: UNITAR in cooperation with UNIDO and WTO.</p> <p>Under the SAICM Quick Start Program Trust Fund the project started in 2007 with the following objectives:</p> <ul style="list-style-type: none"> <li>- implement best environmental practices and non-incineration and mercury-free technologies to help African countries meet their SC obligations and to reduce mercury use in healthcare;</li> <li>- ensure the availability and affordability of non-incineration waste treatment technologies in the region, building on the outcomes of the GEF supported UNDP/WHO/HCWH Global Medical Waste project.</li> </ul>
<p><i>Status: completed (2009)</i></p>	
<p><i>Reducing uPOPs and Mercury releases from the health sector in Africa</i></p> <p>Countries covered: Ghana, Madagascar, Tanzania and Zambia</p>	<p>Implementing agency: UNDP</p> <p>The objectives of this Full Size Regional project are to:</p> <ul style="list-style-type: none"> <li>- Implement best environmental practices and non-incineration and mercury-free technologies to help African countries meet their SC's obligations and to reduce mercury use in healthcare;</li> <li>- Ensure the availability and affordability of non-incineration waste treatment technologies in the region, building on the outcomes of the GEF supported UNDP/WHO/HCWH Global Medical Waste project.</li> </ul>
<p><i>Status: under implementation</i></p>	
<p><i>Demonstration of Effectiveness of Diversified, Environmentally Sound and Sustainable Interventions, and Strengthening National Capacity for Innovative Implementation of Integrated Vector Management (IVM) for Disease Prevention and Control in the WHO AFRO Region<sup>97</sup></i></p> <p>Countries covered: Swaziland, Madagascar, Tanzania, Kenya, Zambia, Namibia, South Africa, Botswana, Liberia, Senegal, Ethiopia, Gambia, Zimbabwe, Uganda and Mozambique</p>	<p>Implementing agency: WHO</p> <p>The specific objectives of this Full Size Regional project are to:</p> <ul style="list-style-type: none"> <li>- Support countries to demonstrate effectiveness of diversified, environmentally safe innovative vector control methods including use of chemicals within the context of IVM;</li> <li>- Promote evidence-based multi-sectoral policy-making for IVM and strengthen multi-sectoral alliance in the promotion and implementation of environmentally sound and effective innovative interventions for diseases vector control;</li> <li>- Strengthen national capabilities for implementation and scaling up of evidence-based, environmentally sound and innovative interventions for disease vector control with special emphasis on malaria;</li> <li>- Sub-regional collaboration and coordination, dissemination and sharing of country experiences;</li> <li>- Strengthen knowledge and capacity of national and international NGOs and CSOs for promotion and implementation of environmentally sound, effective and innovative interventions for disease vector control with special focus on malaria, and</li> <li>- Increase awareness and involvement of communities in the implementation of environmentally sound and</li> </ul>

<sup>96</sup> First National Chemicals Management Profile:

[http://www2.unitar.org/cwm/publications/cw/np/np\\_pdf/Zambia\\_National\\_Profile\\_2005.pdf](http://www2.unitar.org/cwm/publications/cw/np/np_pdf/Zambia_National_Profile_2005.pdf)

<sup>97</sup> [http://addis.unep.org/projectdatabases/00746/project\\_general\\_info](http://addis.unep.org/projectdatabases/00746/project_general_info)

	effective innovative interventions for diseases vector control.
<i>Status: under implementation</i>	
<i>Promotion of BAT/BEP to reduce uPOPs releases from waste open burning in the participating African countries of SADC subregion</i>  Countries covered: Botswana, Lesotho, Madagascar, Mozambique, Swaziland, Tanzania and Zambia	Implementing agency: UNIDO Regional Full-sized Project aiming to achieve release reduction of unintentionally produced POPs (uPOPs) in the open burning sector of participating African countries of SADC sub-region through introduction of best available techniques and best environmental practices (BAT/BEP) measures at selected priority demonstration sites.
<i>Status: Preparation of the project document ongoing, preparatory phase approved in February 2014</i>	
<i>Demonstration of a regional approach to environmentally sound management of PCB liquid wastes and transformers and capacitors containing PCBs<sup>98</sup></i>  Countries covered: Angola, Botswana, Lesotho, Madagascar, Mauritius, Malawi, Mozambique, Namibia, Swaziland, Tanzania, Zambia, Zimbabwe	Implementing agency: UNEP Full Size Regional Project to carry out needs assessments in order to strengthen national capacities for the environmental sound management, phasing out, treatment and destruction of PCBs and wastes in the participating countries.
<i>Status: GEF has approved the project which is in November 2014 was due to start</i>	

Post-second NIP projects include: the PCBs Disposal which will be implemented by UNIDO/African Institute and will start in 2015 over a period of 3 years (have just applied to GEF); the implementation of some activities identified under the Communication Strategy on POPs.

The request for funding for the **NIP review and update** was submitted to GEF approval on 20 September 2012, and approved on 7 March 2013. The total cost of the project is 405 000 US\$ of which 170 000 US\$ are granted by the GEF Trust Fund. UNIDO's PAD started on 16 May 2013 and the contract between UNIDO and ZEMA entered into effect on 7 of June 2013.

The aim of the contract is to provide services related with EA activities to review and update the Zambia's NIP under the SC. Reference to the gender dimension was found in the project funding proposal under Activity 3.1.3 "Assess socio-economic implications of new POPs use and reduction". It also states foresees that fender-specific indicators will be set for project monitoring. A gender context analysis has been elaborated in Zambia.

The project duration is 12 months<sup>99</sup>. The first component has been concluded and the inventories have been elaborated, discussed within the Working Groups (WG) and validated by the NCS.

As of 30 November 2014, this is the status of the services provided in the two components:

<sup>98</sup> [http://addis.unep.org/projectdatabases/01060/project\\_general\\_info](http://addis.unep.org/projectdatabases/01060/project_general_info)

<sup>99</sup> Clause 2.03 of the contract

**Table 2: Status of the Services to be provided in each component**

Component	Services to be Provided	Status
<b>Component 1</b> Coordination mechanism and awareness raising	1.1. Project coordination mechanism re-established and working groups formed and contracted	PCU established: it is composed by the NPC and 4 (WG) on PCB, UPOPs, Pesticides POPs, Industrial POPs. Each WG has a chair, a secretary and the remaining members of the WG
	1.2. Stakeholders and public informed, consulted and aware of new POPs risks and policy implications	<ul style="list-style-type: none"> <li>- NSC re-established but not through formal designation and nomination to UNIDO HQ<sup>100</sup></li> <li>- Communication Strategy for Chemicals - it was developed by each WG and compiled in a <i>National Communication Strategy on the National Implementations Plans for POPs</i><sup>101</sup></li> <li>- The ZEMA website has specific information on POPs <a href="http://www.zema.org.zm/pops/">http://www.zema.org.zm/pops/</a></li> <li>- Inception Workshop was held with high level participation (Permanent Secretary)</li> </ul>
<b>Component 2</b> Inventories of new POPs and NIP review	2.1. Inventories of initial 12 POPs updated and validated by stakeholders; 2.2. Inventories of new POPs conducted and validated by stakeholders.	<ul style="list-style-type: none"> <li>- Training workshop on new POPs held</li> <li>- Inventories have been produced, discussed and validated by each WG and by the NSC.</li> </ul>

The project deliverables have, in general, complied with the ToR requirements in spite of some missing information identified below. The overall status of implementation is delayed - the project should have been concluded in June 2014 but the 2nd component has not yet been concluded. In September ZEMA has asked for an extension of 6 months so the initial deadline of June has now been extended to December 2014. A further extension of 6 months is being negotiated - if agreed the project is expected to be concluded by 30 June 2015.

The table below summarizes the deliverables produced up to 30 November 2014.

<sup>100</sup> The NCS is composed by more than 20 members representatives of *inter alia* the following institutions: MLNREP; ZEMA; Ministry of Child Development and Mother Care; Ministry of Labor and Social Security; Ministry of Community Development, Mother and Child Health; National Institute for Scientific and Industrial Research; University of Zambia; Zambia Bureau of Standards; ZESCO Limited; Zambia Medicines Regulatory Authority; Baxy Pharmaceuticals Manufacturing Company; Zambia Consumer Association; AGROCERT; World Life Environmental Conservation Society; Ministry of Commerce Trade and Industry; MEGAVISION; Copperbelt Energy Corporation; National Council for Construction; Lusaka Water and Sewerage Company.

<sup>101</sup> The final version was made available to the Evaluation Team. The Draft version is available at: <http://www.necz.org.zm/pops/downloads.html>

**Table 3: Summary of the Deliverables Review**

Deliverables	Stakeholders Participation	Gender	Missing Info	Time-Line
<b>Component 1</b> Coordination mechanism and awareness raising				
Report Inception Workshop (24pag) <sup>102</sup>	37 from different entities with contact details	Women have been involved in the workshop but no specific mention was found to gender balance in the report	-Presentations -Background documents	Expected date: 07/07/2013
				Deliverable: 06/08/2013
				Delay: 1 month
<b>Component 2</b> Inventories of new POPs and NIP review				
Report Training Workshop	48 including UNIDO international consultant	Socio-economic assessment and gender analysis (15 minutes in the workshop agenda)		Deliverable date: 8-9 August 2013 <i>(expected date not foreseen in the ToR)</i>
The following inventories were drafted: - Industrial POPs Inventory (31/10/2014); - PCB Inventory Update Report (15/09/2014) - POPs pesticides update Report (15/09/2014) - u-POPs Inventory Report (15/09/2014)				The Reports were produced between September and October 2014

**Main concerns identified in the First NIP:**

The National Inventory of 2004 revealed that POPs of major concern in Zambia are Chlordane, DDT, PCBs, and PCDDs/PCDFs. Chlordane is used for termite control in the construction industry and in plantations. The lack of cost effective alternatives for termite control implies that the use of Chlordane will continue for some time to come. DDT is permitted for use only in IRS for malaria vector control. The said inventory revealed that there has been a steady increase in the quantities used since 2000. PCBs found in

<sup>102</sup> 1 Day *Inception Workshop*: the report should include all the presentations made, a list of participants with contact details and gender, workshop results as well as a list of background documents (indicative size of 30 pages is acceptable), ToR (page 3)

Zambia are contained in equipment such as transformers and capacitors used mainly in the electricity sector. Though the importation of such PCB containing equipment was banned in the 1980s, there are still a number in use and obsolete stockpiles in the country. In the case of unintentionally produced POPs, the major source of PCDDs/PCDFs in Zambia is open air burning of waste resulting from poor waste management systems.

#### **Priorities issues identified in the First NIP**

The following are some of the priority issues identified in the management of POPs in Zambia;

1. Develop a system for management and control of Chlordane.
2. Develop an effective management of PCBs.
3. Evaluate the persistence of DDT in different matrices including soil, water, food and breast milk.
4. Strengthen the existing legal framework in order to address PCDD and PCDF releases.