



# PROCEEDINGS



## SUB-REGIONAL AWARENESS RAISING WORKSHOP ON DEVELOPING NATIONAL IMPLEMENTATION PLANS FOR THE STOCKHOLM CONVENTION

19 – 23 November, 2001, APIA, Samoa



Prepared by **UNEP Chemicals**

**IOMC**

INTER-ORGANIZATION PROGRAMME FOR THE SOUND MANAGEMENT OF CHEMICALS  
A cooperative agreement among UNEP, ILO, FAO, WHO, UNIDO, UNITAR and OECD

**Report of the  
Sub-Regional Awareness Raising Workshop on Developing National  
Implementation Plans for the Stockholm Convention  
19 –23 November 2001, Apia, Samoa**

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## 1. Introduction

The Stockholm Convention on Persistent Organic Pollutants was adopted on 22 May 2001 by the Conference of Plenipotentiaries. The Governments of Papua New Guinea and Samoa became signatories during the Stockholm Meeting, and Fiji and the Federated States of Micronesia signed the Convention in June and July 2001, respectively. Fiji also ratified the Convention in June; the second country in the world to do so.

All developing countries that sign the Convention are eligible for funding through the Global Environment Facility (GEF) for enabling activities, such as the development of National Implementation Plans. These Plans are required under Article 7 of the Convention.

A Subregional Awareness Raising Workshop on Developing National Implementation Plans for the Stockholm Convention was organised by UNEP Chemicals in collaboration with the South Pacific Regional Environment Programme (SPREP) and with the support of the Government of Canada. The workshop was held in Apia, 19-23 November 2001 to support Pacific Island Countries in ratifying and implementing the Stockholm Convention.

The workshop was designed for senior government experts and decision-makers from environment agencies of countries of the South Pacific. The Pacific Island countries represented were Cook Islands, Fiji, Federated States of Micronesia, Kiribati, Niue, Palau, Papua New Guinea, Samoa, Solomon Islands, Tonga, Tuvalu, and Vanuatu.

A full list of the workshop participants is given in Appendix 1 and a copy of the workshop programme is given in Appendix 2.

## 2. Opening Session

The meeting was opened with a prayer by Reverend Fepai S. Kolia, followed by a speech by the Honorable Tagaloa Tuala Tagaloa, Minister of Lands, Surveys and Environment, of the Government of Samoa. A welcome address was given by Mr Tamari'i Tutangata, Director of SPREP. Copies of the opening addresses are given in Appendix 3.

In his opening remarks, Mr John Whitelaw, Deputy Director, UNEP Chemicals outlined the purpose of the workshop, and placed it within the context of the global chemicals agenda. He mentioned that it followed on from the workshop held in Cairns where the three related Conventions (the Basel, Rotterdam and Stockholm Conventions) were addressed.<sup>1</sup> A prime purpose of the Apia workshop is to take the issues of the Stockholm Convention one step further, and to identify those aspects of the implementation that might be undertaken regionally.

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<sup>1</sup> Proceedings of the Sub-Regional Awareness Raising Workshop on the Prior Informed Consent Procedure, Persistent Organic Pollutants and the Basel and Waigani Conventions, Cairns, Australia, 2-6 April, 2001. UNEP Chemicals, Geneva, 2001.

### 3. Workshop Presentations

A number of presentations were made to provide background information to the participants, and to also set the scene for the work in the discussion groups. Copies of these presentations are given in Appendix 4.

Informal Country Presentations were given by most of the Pacific Island participants. These covered the current situation within their countries with regard to chemical management generally, and their plans for signing and/or ratification of the Stockholm Convention.

Other background information given to the participants was as follows:

- A draft framework for Stockholm NIPs (GEF)
- Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants (GEF)
- Capacity Assistance Network under the Stockholm Convention on Persistent Organic Pollutants (GEF)

### 4. Working Group Activities

The workshop participants were divided into two Working Groups. Two discussion sessions were held on developing National Implementation Plans, and the Groups also spent time working through a generic NIP Funding Proposal.

In the first Working Group session, the participants were asked to discuss a proposed five-step sequence for NIP development, and to identify and discuss possible issues relevant to their own specific situations or for the region as a whole. The main issues identified against each of the five steps were as follows:

#### **Step 1. Determination of coordinating mechanisms and organisation of the process.**

1. All key issues should be country driven by National Focal Points
2. Project Coordinator/Manager can be the driving force for ensuring that activities are undertaken successfully.
3. There must be adequate funding to cover all activities.

#### **Step 2. Establishment of a POPs inventory and assessment of national infrastructure and capacity**

1. Activities where relevant should be implemented jointly with other regional organizations/agencies or international bodies, especially in training and preparing inventories.
2. Recognizing the limited human resources and skilled personnel in this area, expertise from within the region and/or internationally should be sought to assist countries.
3. Laboratory support will be required for the inventory work, and should probably be provided on a regional basis.
4. Inventories and other aspects of the NIP should look wider than just the 12 POPs chemicals.

#### **Step 3. Setting of priorities and determination of objectives**

1. It is up to each country to set their priorities.

**Step 4. Formulation of a National Implementation Plan and specific Action Plans; and**

**Step 5. Endorsement of the National Implementation Plan by stakeholders**

1. These activities should be country driven or managed by the country and where required, should seek expertise from within the region or internationally.
2. Experiences/expertise from other PICs should be explored or utilized.
3. There needs to be a global commitment to support implementation of the Plans. From past experience, communities will be wary of drawing up yet another plan which is never implemented.

Other overall conclusions from the discussions were as follows:

1. Each country should tailor the methodology to their existing capacity/capability, at the same time ensuring that the objectives of NIP development are met successfully.
2. Remoteness of some of the islands or island groups will make community consultation a huge undertaking for some countries, and also the education/awareness activities.
3. Limited human capacity with the required skills in the area of chemicals and chemical management may be a major drawback in completing NIPs.
4. But, most participants recognised the need for countries to develop their own NIPs, and to engage the wider civil society, to gain ownership of the NIP, and to encourage implementation.

**5. Final Plenary Discussions**

The final wrap-up session of the workshop was aimed at identifying specific actions that needed to be taken by the country participants, UNEP and/or SPREP. The key points noted were as follows:

1. Country participants were urged to continue promoting the potential benefits from signing the Stockholm Convention, and also the need for this to be done prior to the close-off date of 22 May 2002<sup>1</sup>.
2. Signing the convention is a pre-cursor to accessing the GEF funding for capacity building under the Convention including the development of National Implementation Plans.
3. Access to the GEF funding provides an opportunity to strengthen chemical management generally, within each country.
4. Signing the convention will also give countries access to technical and financial assistance programmes that will be developed under the Convention.
5. Participants were urged to give careful consideration to their choice of Implementing Agency for the NIPs programme. They were also advised that UNEP and SPREP would continue to explore the opportunities for a regional approach in supporting the national activities. In particular it was noted that some of the training requirements under the NIPs activities might be delivered more cost effectively on a regional basis. There was also a possibility of SPREP acting as a local coordination point to facilitate communications between individual countries and their chosen Implementing Agency.

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<sup>1</sup> As of 30 June 2002, the Convention had been signed by the following Pacific Island countries: Fiji, FSM, Kiribati, Niue, Nauru, Palau, PNG, Samoa, Tonga, and Vanuatu. Fiji, Nauru and Samoa have also ratified the convention.

6. There was a clear indication from most participants of their desire to access the GEF funds directly, rather than through organisations such as SPREP. However, it was also acknowledged that there were potential advantages in taking a regional approach for some of the activities noted above.
7. The participants were provided with a background paper on the proposed Capacity Assistance Network. The mandate for this is set out in a resolution adopted by the Conference of Plenipotentiaries. UNEP and GEF are required to report back to the 6<sup>th</sup> session of the Intergovernmental Negotiating Committee scheduled for 17-22 June 2002 in Geneva, Switzerland on the various options for establishing such a Network.

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## Appendix 2: Workshop Programme

| DATE                                   | TIME | TOPICS   | PRESENTER/<br>FACILITATOR  |
|--|------|--|--|
| MONDAY, 19 <sup>th</sup> NOVEMBER 2001 | 0830 | Registration   | <b>SPREP Secretariat</b>   |
|  | 0900 | <b>Opening</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Opening Prayer</li> <li><input type="checkbox"/> Welcoming Speech</li> <li><input type="checkbox"/> Welcoming Address</li> <li><input type="checkbox"/> Opening Remarks</li> </ul>  | <b>Rev. Fepai S. Kolia</b><br>[Secretary, National Council of Churches]<br><b>Hon. Tagaloa Tuala Tagaloa</b><br>[Minister of Lands, Surveys & Environment, Government of Samoa]<br><b>Mr. Tamari'i Tutangata</b><br>[Director of SPREP]<br><b>Mr. John Whitelaw</b><br>[Deputy Director, UNEP Chemicals] |
|  | 0940 | BREAK  |  |
|  | 1000 | <b>Introduction</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Overview of Workshop</li> <li><input type="checkbox"/> Introduction of participants</li> <li><input type="checkbox"/> Election of Chair and Rapporteur</li> <li><input type="checkbox"/> Practical announcements</li> </ul>  | <b>John Whitelaw</b> [UNEP Chemicals]<br><b>Dr. Bruce Graham</b><br>[Waste Management & Pollution Prevention Coordinator, SPREP]<br><b>Dr. Bruce Graham</b> [SPREP]<br><b>Dr. Bruce Graham</b> [SPREP]   |
|  | 1030 | <b>Overview of the Stockholm Convention</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Recap of objectives, measures, obligations</li> <li><input type="checkbox"/> Status of ratifications &amp; signatures</li> <li><input type="checkbox"/> Why ratify?</li> <li><input type="checkbox"/> Assistance under interim financial mechanism and the role of executing agencies</li> </ul>   | <b>John Whitelaw</b> [UNEP Chemicals]  |
|  | 1140 | <b>Overview of Pacific Islands situation</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Recap on Cairns workshop on POPs/PIC/Basel</li> <li><input type="checkbox"/> Update on POPs in PICs project</li> </ul>  | <b>Dr. Bruce Graham</b> [SPREP]  |
|  | 1230 | LUNCH  |  |
|  | 1400 | <b>Overview of National Implementation Plans</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> SC Article 7 obligations</li> <li><input type="checkbox"/> Responsibility at the national level for NIP</li> <li><input type="checkbox"/> Basic purpose and content of NIP</li> <li><input type="checkbox"/> Data requirements</li> <li><input type="checkbox"/> Involvement of stakeholders</li> <li><input type="checkbox"/> Assistance under interim financial mechanism</li> <li><input type="checkbox"/> 12 country pilot project including PNG &amp; FSM</li> </ul> | <b>Fatou Ouane</b> [UNEP Chemicals]  |
|  | 1530 | BREAK  |  |

**National Implementation Plans for the Stockholm Convention**

| <b>DATE</b> | <b>TIME</b> | <b>TOPICS</b>   | <b>PRESENTER/<br/>FACILITATOR</b> |
|-------------|-------------|---|-----------------------------------|
|             | 1600        | <p><b>Country presentations</b></p> <p>Statements by countries that have already signed and/or ratified the Stockholm Convention and commenced NIP preparations:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Federated States of Micronesia</li> <li><input type="checkbox"/> Papua New Guinea</li> <li><input type="checkbox"/> Fiji</li> <li><input type="checkbox"/> Samoa</li> </ul> <p>Statements from any other workshop participants who may wish to provide information on national situations.</p> |                                   |
|             | 1830        | <b>COCKTAIL RECEPTION</b>   | Pasefika Inn                      |

|   |      |  |                                       |
|---|------|--|---------------------------------------|
| <b>TUESDAY, 20<sup>th</sup> NOVEMBER 2001</b>   | 0900 | <b>Review of draft framework for Stockholm NIPS</b><br><input type="checkbox"/> Five-step sequence:<br>(i) determination of coordinating mechanisms and organization of process;<br>(ii) establishment of a POPs inventory an assessment of national infrastructure and capacity;<br>(iii) setting of priorities and determination of objectives;<br>(iv) formulation of a National Implementation Plan and specific Action Plans; and<br>(v) endorsement of the National Implementation Plan by stakeholders. | <b>Fatuo Ouane</b> [UNEP Chemicals]   |
|   | 1030 | BREAK  |                                       |
|   | 1045 | Review of draft framework for Stockholm NIPS ( <i>continued</i> )  |                                       |
|   | 1130 | <b>Review of specific action plans and strategies</b><br><input type="checkbox"/> Obligations under SC Articles 5 and 6  | <b>John Whitelaw</b> [UNEP Chemicals] |
|   | 1230 | LUNCH  |                                       |
|   | 1400 | <b>Developing a NIP</b><br><input type="checkbox"/> Instruction and formation of two break-out groups to consider practicalities of developing NIPs for Pacific Island Countries, <i>including the possibility of some countries approaching the task on a sub-regional basis</i>  |                                       |
|   | 1530 | BREAK  |                                       |
|   | 1600 | National 'infrastructure' requirements/issues  | <b>John Whitelaw</b> [UNEP Chemicals] |
|   |      |  |                                       |
| <b>WEDNESDAY, 21<sup>st</sup> NOVEMBER 2001</b> | 0900 | Developing a NIP ( <i>continued</i> )<br><input type="checkbox"/> Break-out groups continue discussion   |                                       |
|   | 1015 | BREAK  |                                       |
|   | 1045 | Developing a NIP ( <i>continued</i> )<br><input type="checkbox"/> Break-out group report back<br><input type="checkbox"/> Discussion   |                                       |
|   | 1230 | LUNCH  |                                       |
|   | 1400 | FIELD TRIP TO SPREP SITE   |                                       |
|   |      |  |                                       |

|  |      |   |  |
|--|------|---|--|
| THURSDAY, 22 <sup>nd</sup> NOVEMBER 2001 | 0900 | <b>Funding issues</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Availability of financial assistance to help countries to implement the Convention (including eligibility for GEF funds)</li> <li><input type="checkbox"/> GEF Initial Guidelines for Enabling Activities</li> <li><input type="checkbox"/> Instruction and formation of two break-out groups to discuss developing a NIP funding proposal</li> </ul> | <b>John Whitelaw</b> [UNEP Chemicals]<br><br><b>Fatou Ouane</b> [UNEP Chemicals] |
|  | 1030 | BREAK   |  |
|  | 1100 | <b>Developing a NIP funding proposal</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Break-out groups to work through sample GEF proposal forms, discussing practicalities and identifying potential variations for Pacific Island Countries</li> </ul>   |  |
|  | 1230 | LUNCH   |  |
|  | 1400 | <b>Technical presentations</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Medical wastes</li> <li><input type="checkbox"/> Combustion technologies</li> </ul>  | <b>Dr. Bruce Graham</b> [SPREP]<br><b>Dr. Bruce Graham</b> [SPREP]               |
|  | 1430 | Developing a NIP funding proposal<br><i>(continued)</i> <ul style="list-style-type: none"> <li><input type="checkbox"/> Break-out groups report back</li> <li><input type="checkbox"/> Discussion</li> </ul>  |  |
|  | 1530 | BREAK   |  |
|  | 1600 | <b>Future Actions</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Round table in which participants indicate where their countries have got to with signing/ratification of the Stockholm Convention</li> <li><input type="checkbox"/> Identification of additional actions needed (to be noted in a combined 'action list') and any gaps in national capacity</li> </ul>   |  |
| FRIDAY, 23 <sup>rd</sup> NOVEMBER 2001   | 1000 | <b>Summing up</b> <ul style="list-style-type: none"> <li><input type="checkbox"/> Chair/rapporteur to review issues</li> <li><input type="checkbox"/> Further general discussion</li> </ul>   |  |
|  | 1200 | <b>CLOSURE OF THE WORKSHOP</b>  |  |
|  | 1230 | LUNCH   |  |

### Appendix 3: Opening Addresses

#### **Opening address by Minister of Lands, Surveys and Environment, APIA, Samoa** **Hon. Tuala Sale Tagaloa**

On the 23<sup>rd</sup> May 2001, a very important meeting was held in Stockholm, Sweden. This was the Diplomatic Conference of Ministers and other Plenipotentiaries that adopted the Stockholm Convention on Persistent Organic Pollutants (POPs). The Convention sets out control measures covering the production, import, export, disposal and use of POPs, initially dealing with 12 of the most dangerous known POPs or the “dirty dozen”.

As we come to learn more about POPs, I am horrified at the extent in which they threaten the health and well being of our planet. They are among the most dangerous chemicals that were ever created. Because POPs are highly stable compounds that are insoluble in water, they can last for years before breaking down and live in human and animal tissues. It is found that low concentrations in soil and water where they are applied can become considerable concentrations in humans and animals higher up the food chain.

They are highly toxic, causing an array of adverse effects, notably death, disease, and birth defects, among humans and animals. Specific effects can include cancer, allergies and hypersensitivity, damage to the central and peripheral nervous systems, reproductive disorders, and disruption of the immune system.

They circulate globally across oceans and continents by the winds and through trade or carried by migratory birds and animals. In other words they can be freely transported far away from the original source and do not respect international or social boundaries. They are invisible and can strike anywhere and against anyone young or old, rich or poor. So the fight against POPs can only be done with common strategies. Our region can be POPs free but if other countries continue to use them then we are not free, no one can.

I have also been totally surprised by our lack of awareness of the true nature of these chemicals and how they impact on the environment. In Samoa, for instance, we have widely used some of these pesticides in the past. While PCBs have been used in our energy sector for many years, mainly in transformers and capacitors, we still have only limited understanding of their safe management. And if dealing with the POPs that we see is not problematic enough, furans and dioxins as accidental by-products are even more difficult for us to comprehend. Creating public awareness and building local capacity are therefore critical to the successful implementation of the convention.

The Convention sets out control measures covering the production, trade and use of POPs. It also deals with national institutional and governance aspects as well as procedures for adding new POPs. Considering the limited resources and technical capacity in our countries to deal with these chemicals, I welcome the provisions for financial and technical assistance that will help the less developed countries meet their obligations under the Convention. This I understand is the catalyst for this workshop to develop National Implementation Plans for the Stockholm Convention.

As well as the preparations of Implementation Plans, you must also in parallel consider the actual implementation of these plans at the national level, particularly the safe management of POPs, the prompt disposal of existing stockpiles and the clean up of contaminated sites. In this regard I wish to make a special mention of the current SPREP's Implementation of PCB/Pesticides Project which has conducted inventories in a number of our countries and will now move on to effect the disposal of existing stockpiles and associated waste.

Finally, may I say that Samoa is totally committed to the Stockholm Convention. We have already signed it, and I now have before Cabinet proposals for its ratification. So with those few remarks, I wish you all much success in your deliberation this week, and it is my pleasure to officially open the Sub-Regional Workshop on Developing National Implementation Plans for the Stockholm Convention.

Soifua

## Opening Address by Tamari'i Tutangata, Director, SPREP

Thank you Honourable Minister for sharing your valuable time and knowledge with us and for your unfailing support for SPREP's regional endeavours on behalf of our members. Your presence serves to re-emphasise to us all the importance of the issues before this workshop to the people of our islands including our political leaders. It behoves us to be reminded that the issue of toxic chemicals and hazardous wastes, is an issue that is consistently before the annual gathering of the Pacific islands Leaders' Forum.

This workshop represents another significant step along the path that our Pacific islands region is taking towards the effective management of toxic chemicals and hazardous wastes.

We started along this road in 1995 with the adoption of our own regional version of the Basel Convention for the Control of Transboundary Movements of Hazardous Wastes – the Waigani Convention. Subsequent years saw the start of a project on Persistent Organic Pollutants in Pacific Island countries (POPs in PICs, funded by the Australian Government through AusAID), active participation by Pacific Island countries in the negotiation process for the international POPs Convention, work on the preparation of National Chemical Profiles in several countries, and a variety of national and regional workshops on chemical and hazardous waste management.

Most of these activities have simply been laying the groundwork for action. But I think the region is now poised to embark on a comprehensive programme that will make significant progress in this area. I say this for the following reasons:

*First*, the Waigani Convention has now been ratified by 10 countries and entered into force on the 20<sup>th</sup> of October this year. This is a major step forward for the region and opens the way for our active participation in the international hazardous waste management community. The current Parties to the Convention are Australia, Cook Islands, Federated States of Micronesia, Fiji, Kiribati, New Zealand, Papua New Guinea, Samoa, Solomon Islands and Tuvalu. I understand that most of the other countries in the region who have yet to sign are actively working towards ratification as well.

*Second*, Phase II of the POPs in PICs project is now under way with funds provided by AusAID. This part of the project will deal with the safe disposal of the stockpiles of toxic chemicals and hazardous wastes that were identified in Phase I. Funding has been obtained from the Australian government for the disposal of PCB transformer oils and some of the pesticides. And additional funding has been offered through UNEP Chemicals to deal with the remaining pesticides. The Project Coordinator for this work, Mr. John O'Grady, joined SPREP two weeks ago, and we will be contacting all of the participating countries over the next month to initiate the first steps in the disposal programme.

*Third*, the POPs Convention was adopted in Stockholm in May 2001. Eight of the SPREP Member countries (Australia, Federated States of Micronesia, Fiji, France, New Zealand, Papua New Guinea, Samoa and the United States of America) have

already signed the Convention, and Fiji has ratified it as well – only the second country in the world to do so. I believe that most of the other Pacific Island countries are intent on signing the convention, and this is reflected by their representation at this meeting.

*Fourth*, one of the first actions required under the POPs Convention is the preparation of National Implementation Plans or NIPs. These Plans will be important in establishing effective national management systems for POPs and related hazardous chemicals. The Federated States of Micronesia and Papua New Guinea were selected to take part in the GEF pilot programme for this work, so have already made a start. Samoa has submitted its proposal for GEF funding for national activities, and this has been approved. Fiji also has submitted their application and I understand that at least one other country is preparing to do so. One of the main aims of this workshop is to determine how best to assist the other countries to join in this initiative.

*Fifth*, looking at the immediate future – over the next two years – SPREP has the following activities on its agenda:

- Completion of the regional component of the GEF PTS (Persistent Toxic Substances) project, which will identify regional priorities and national needs for actions on other toxic chemicals;
- Development of a comprehensive programme for the implementation of the Waigani Convention, now that it has come into force;
- National workshops on hazardous waste management;
- A regional waste oil programme; and
- Preparation of guidelines for the management of specific hazardous wastes.

We can see from the abovementioned activities that the Pacific region is starting to show a real commitment towards addressing its toxic chemical and hazardous waste issues. This workshop is an integral part of these activities, and we are grateful to UNEP Chemicals and the Canadian Government for their support.

Let me conclude my part of the preamble to your workshop by joining the Honourable Minister in welcoming you all to this workshop and by expressing the SPREP Secretariat's appreciation to our honoured guests for taking the time to share this occasion with us.

I wish you well, in your deliberations.

Kia manuia. Soifua.

#### Appendix 4: Workshop Presentations

- Overview of the Stockholm Convention; John Whitelaw, UNEP Chemicals
- Update on the Persistent Organic Pollutants in Pacific Island Countries (POPs in PICs) Project; John O'Grady, SPREP
- Overview of National Implementation Plans; Fatoumata Keita-Ouane, UNEP Chemicals
- Review of
- Action Plans under the Stockholm Convention; John Whitelaw, UNEP Chemicals
- Dioxins Formation during Combustion/Incineration and the Relevance to Waste Management (especially Landfills and Medical Wastes); Bruce Graham SPREP
- Financial Assistance; John Whitelaw, UNEP Chemicals

**Stockholm Convention on Persistent Organic Pollutants (POPs): Overview**

By: John Whitelaw, UNEP Chemicals

**Background: What are POPs?**

- organic (carbon-based) compounds
- natural or anthropogenic origin
- resist degradation in environment
- low water + high fat solubility
  - bioaccumulate in fatty tissues
- semi-volatile + occur in air, water & soil
  - regional and global distribution
- toxic to humans and wildlife

**POPs – why are they a concern?**

- Toxic
- Resist degradation in environment
- Low water + high lipid solubility
- Bioaccumulate in fatty tissues
- Semi-volatile + multi-media
- Mobile – regional and global distribution

**The Initial 12 POPs**

| Chemical            | Pesticide | Industrial chemical | By-product |
|---------------------|-----------|---------------------|------------|
| Aldrin              | +         |                     |            |
| Chlordane           | +         |                     |            |
| DDT Dieldrin        | +         |                     |            |
| Endrin              | +         |                     |            |
| Heptachlor          | +         |                     |            |
| Mirex               | +         |                     |            |
| Toxaphene           | +         |                     |            |
| Hexachlorobenzene   | +         | +                   | +          |
| PCBs                |           | +                   | +          |
| Chlorinated Dioxins |           |                     | +          |
| Chlorinated Furans  |           |                     | +          |

**Stockholm Convention-what is it?**

- A legally binding treaty to protect human health and the environment from POPs

**Stockholm Convention**

- Adopted in Stockholm on 22 May 2001 (127 parties)
- Now signed by 106 parties
- Ratified by Canada and Fiji

**Convention Provisions**

Four 4 main areas of Convention:

- General obligations
- Control provisions:
  - Intentionally Produced POPs

- Unintentionally Produced POPs
- Stockpiles and Wastes
- Procedure for adding new POPs
- Financial and technical assistance

### **Intentionally Produced POPs**

***Goal is the elimination of production and use of all intentionally produced POPs (industrial chemicals and pesticides)***

- production and use will be either *eliminated* or *restricted* and, in each case, *trade will be restricted*
- *elimination (Annex A)* - 9 chemicals listed :
  - aldrin, chlordane, dieldrin, endrin, heptachlor
  - hexachlorobenzene (HCB), mirex
  - polychlorinated biphenyls (PCBs), toxaphene
- *restriction (Annex B)* - DDT (“acceptable purpose” in disease vector control)

### **For PCBs (Annex A), All Parties must:**

- cease production of new PCBs *immediately* (entry into force)
- eliminate use of in-place PCB equipment *by 2025*
- achieve the ESM of PCB wastes ASAP and *by 2028*
- report to the COP every 5 years on their progress

### **The COP:**

- will review progress on 2025 & 2028 targets every 5 years

### **For DDT (Annex B): All Parties shall:**

- eliminate production and use *except* for disease vector control programs:
  - special public DDT register
  - reporting and other obligations
- promote research and development for alternatives to DDT

### **The COP will:**

- review at its first meeting, and every 3 years thereafter, the ongoing need for DDT for disease vector control (*i.e.*, are technically and economically feasible alternative products, practices or processes available?)

### **Trade Issues:**

- trade will be restricted for all POPs in Annexes A and B
- Imports/exports between Parties limited to shipments:
  - intended for environmentally sound disposal, or
  - to Parties with:
    - “specific exemptions” under Annex A or B, or
    - “acceptable purposes” under Annex B

- exports to non-Parties may take place but there are:
  - conditions on both Non-Party and Party, and
  - accountability requirements (use & disposal of POPs)

### Specific Exemptions:

- production and/or use of 8 (of 10) chemicals
  - several countries have requested;
  - a State on becoming a Party may register by informing secretariat (public register of countries)
  - duration = 5 years, unless Party specifies an earlier date
  - extension = 5 years, if Party requests and COP approves
  - may be withdrawn by a Party at any time
- Parties using “specific exemptions” or “acceptable purposes” provisions must take measures to prevent or minimize human exposure and releases to the environment

### Exemptions: (not time-limited)

- laboratory-scale research
- reference standards
- unintentional trace contaminants in products and articles
- constituents of articles manufactured or already in use before or on date of entry into force of an obligation concerning that chemical:
  - Party must notify Secretariat that product remains in use within that Party
  - Secretariat will make notification publicly available

### Summary of Exemptions

| Chemical   | Production | Use   |
|------------|------------|---|
| Endrin     | No         | No  |
| Toxaphene  | No         | No  |
| Aldrin     | No         | 2 specific exemptions   |
| Dieldrin   | No         | 1 specific exemptions   |
| Heptachlor | No         | 5 specific exemptions   |
| PCBs       | No         | All party specific exemption  |
| Chlordane  | Restricted | 5 specific exemptions   |
| HCB        | Restricted | 3 specific exemptions<br>site-limited intermediate                      |
| Mirex      | Restricted | 1 specific exemption  |
| DDT        | Restricted | Specific exemptions<br>Acceptable purposes<br>Site-limited intermediate |

### Intentionally Produced POPs

- Parties with regulatory and assessment schemes for industrial chemicals and pesticides, shall, in conducting assessments of:
  - new substances, take “measures to regulate with the aim of preventing the production and use” of new POPs
  - in-use substances, consider the screening criteria for candidates for addition to Convention (Annex D)
- These provisions will allow the identification of possible POPs as soon as possible in these assessment programs

### Unintentionally Produced POPs

*Goal is continuing minimization and, where feasible, ultimate elimination of total releases of chemicals in Annex C derived from anthropogenic sources (dioxins, furans, HCB, PCBs)*

#### Parties must:

- develop action plans within 2 years of entry into force, and implement their plans
- promote application of available, feasible and practical measures to achieve realistic and meaningful levels of release reduction or source elimination
- promote development and, where appropriate, require use of substitute or modified materials, products and processes to prevent formation and release of POPs

For sources with the potential for comparatively high formation & release of POPs to the environment (including but not limited to the industrial source categories listed in Annex C Part II), Parties must:

- for new sources:
  - promote and, as provided for in an action plan, require use of best available techniques (BAT), and
  - phase in any BAT requirements as soon as practicable but no later than 4 years after Convention enters into force
  - promote use of best environmental practices (BEP)
- for existing sources, promote use of BAT & BEP

For other industrial source categories listed in Annex C, Part III, Parties must promote use of BAT & BEP for new and existing sources:

- variety of combustion sources
- chemical production processes releasing unintentionally produced POPs
- waste recovery and disposal practices
- textile & leather dyeing & finishing
- motor vehicles
- destruction of animal carcasses
- crematoria

### POPs in Stockpiles & Wastes

*Goal is environmentally sound management (ESM) of stockpiles, wastes, and products and articles upon becoming wastes that consist of, contain or are contaminated by POPs*

#### Parties must:

- develop and implement strategies to identify stockpiles, products and articles in use, and wastes containing POPs
- manage stockpiles in a safe, efficient and ESM until they are deemed to be wastes
- take measures to handle, collect, transport and store wastes in ESM and dispose of wastes in a way that destroys POP content, or otherwise in ESM taking into account international rules, standards and guidelines
- *not* allow recovery, recycle, reclamation, direct reuse or alternative uses of POPs
- *not* transport these materials across international boundaries without taking into account international rules (*e.g.*, Basel Convention)

- develop strategies for identifying contaminated sites and, if remediation is attempted, do it in an environmentally sound manner

### **General Obligations**

- Develop, implement and update an implementation plan
- Designate a National Focal Point
- Promote and facilitate a wide range of public information, awareness and education measures
- Encourage/undertake research, development, monitoring and cooperation on all aspects of POPs and their alternatives
- Report to the COP on:
  - measures taken by Party to implement the Convention
  - effectiveness of measures taken
  - data/estimates for total quantities of POPs in Annex A and B that are traded, and list of States involved

### **Adding New POPs**

Agreed process will be used to evaluate candidates nominated by Parties

- application of scientific criteria
- “precaution” is incorporated
- all Parties have the opportunity for full hearing on any nominated candidate.

Safeguards will ensure that process is transparent and all Parties get a full hearing on any nominated candidate.

- A POPs Review Committee will be set up to advise the COP on the application of the criteria and process
- Criteria are specified (Annex D):
  - chemical identity (names, structure)
  - persistence
  - bio-accumulation
  - potential for long range transport
  - adverse effects

### **Financial & Technical Assistance**

#### **Convention Specifies :**

- Developing countries and countries with economies in transition will need technical and financial assistance
- Regional and subregional centres will be established for capacity building and transfer of technology to assist countries in need
- Developed countries have undertaken to provide technical assistance and new and additional financial resources to meet agreed full incremental implementation costs
- Global Environment Facility (GEF) has been named as the principal entity of the interim financial mechanism to fund capacity building and other related activities

#### **Period Prior to Ratification:**

- GEF initial guidelines for enabling activities
- Projects to enable developing countries to prepare to meet their future convention requirements
- UNEP-World Bank MOU
- Canada Fund and other sources

### **Other Provisions**

- Open for signature until 22 May 2002 at UN HQ
- Enters into force 90 days after 50th ratification
- COP must review effectiveness 4 years after entry into force
- UNEP to provide Secretariat

### **Stockholm Convention: Final Act**

- Comprised of Convention and Resolutions
- Final Act signed by 114 parties POPs
- INC-6 scheduled for 17-21 June 2002 (Geneva)

### **Resolutions**

1. Resolution on interim arrangements
2. Resolution on interim financial arrangements
3. Resolution on capacity-building and capacity-assistance network
4. Resolution on liability and redress concerning the use and intentional introduction into the environment of persistent organic pollutants
5. Resolution on issues related to the Basel Convention
6. Resolution concerning the secretariat
7. Tribute to the Government of the Kingdom of Sweden

### **Short term priorities**

- Establish interim secretariat
- Prepare for INC-6
- Support country enabling activities (NIPs)
- Hold “Ratification” workshops (with GEFSEC)
- Continue support for “immediate actions” with PCB, dioxin/furan and pesticide projects
- Strengthen collaboration with Basel Secretariat, Basel Regional Centres and NCPCs
- Other tasks called for in 21/4 and resolutions

### **Steps in Implementing the Convention**

- Sign the Convention
  - No legal obligations
  - Signals government’s support for Treaty
- Convention available for signature
  - At UN Headquarters in New York
  - Until 22 May 2002
- Take steps quickly to ratify

### **Why Ratify the Convention?**

- Access to technical assistance to assess and manage POPs
- Access to funding for POPs related projects
- Ensure that trade in chemicals does not compromise health and environment
- Ability to shape the Convention in future
- Implementing sustainable development

### Interim Financial Mechanism

- GEF is principal entity of Interim Financial Mechanism
- GEF will initially fund “enabling activities” - specifically NIP development
- NIP-eligible activities - “*Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants*”.
- The “*Initial Guidelines*” document is available from the GEF website at [www.gefweb.org](http://www.gefweb.org).

### Available Funds

- GEF will provide funds to cover the agreed full cost,, for enabling activities
- Expedited procedure up to US\$500,000 per country .
- Requests for more than US\$500,000 will be considered on a case-by-case basis

### How to Access GEF Funding

- The “Initial Guidelines” document includes a proposal outline.
- Contact one of the GEF’s partner agencies to assist you throughout the application process and during the implementation of the enabling activities

### GEF Partner Agencies

- |  |   |
|--|---|
| * United Nations Environment Programme | * European Bank of Reconstruction and Development |
| * United Nations Development Programme | * Food and Agriculture Organization               |
| * World Bank                           | * Inter-American Development Bank                 |
| * African Development Bank             | * UN Industrial Development Organization          |
| * Asian Development Bank               |   |

### Stockholm Convention

Further information:

[www.chem.unep.ch](http://www.chem.unep.ch)  
[www.chem.unep.ch/pops](http://www.chem.unep.ch/pops)  
[www.chem.unep.ch/prtr](http://www.chem.unep.ch/prtr)  
[chemicals@unep.ch](mailto:chemicals@unep.ch)

## Update on the POPs in PICs Project

By: John O'Grady, SPREP

### **OVERHEAD 1**

#### **Background**

One of the main environmental concerns facing countries including Pacific Island Nations, is the mismanagement of chemicals and hazardous wastes. This mismanagement has given rise to a range of problems, including:

- a) Deteriorating stockpiles of unused chemicals and industrial wastes, which are in many cases being poorly stored.
- b) Contaminated land
- c) Contaminated groundwater and water supplies
- d) Direct exposure of the public to hazardous substances and wastes
- e) Production of unintentional toxic by-products such as dioxins and furans

### **OVERHEAD 2**

#### **Chemicals that Have Turned Against Us**

In addition to generally mismanaged chemicals, there are several chemicals and substances, which were widely accepted and were not mismanaged in the way we normally associate with the term. They served us well in the ways they were intended to do, until serious environmental and health concerns emerged from unintended impacts of their use.

The most well-known of these substances are:

- polychlorinated biphenyls (PCBs)
- chlorofluorocarbons (CFCs)
- asbestos.

The unfortunate thing was that the concerns did not surface in a clear way until all these substances had been very widely used and thus thoroughly distributed throughout the global environment.

### **OVERHEAD 3**

#### **The AusAID Project Funded Project**

- The Australian Agency for International Development (AusAID) several years ago identified the mismanagement of hazardous chemicals in the Pacific Island Countries as a serious environmental concern.
- Hence the Persistent Organic Pollutants in Pacific Island Countries (POPs in PICs) project was developed as an AusAID funded initiative.
- Phase I of the project involved predominantly an assessment of stockpiles of waste and obsolete chemicals and identification of contaminated sites, for 13 Pacific Island Countries.
- Other Phase I activities included education and awareness programmes in each country and a review of relevant legislation. A major initiative in this respect centered around the training workshops in each country on "Effective Management of Hazardous Materials, Hazardous Wastes and Contaminated Sites.

**OVERHEAD 4****Outcomes of the Phase I Work**

The quantities uncovered in the Phase I work were summarized in this report as follows:

| <b><u>Chemical Waste</u></b>                 | <b><u>Quantity (tonnes)</u></b>                   |
|--|---|
| Polychlorinated Biphenyls (PCBs)             | 131   |
| Pesticides (including 7 tonnes of packaging) | 42 tonnes needing off-island disposal             |
|  | 11 tonnes that may be suitable for local disposal |
| DDT  | 10.4  |
| Timber Treatment Chemicals                   | 11.3  |
| Bitumen                                      | 330   |

These figures are very approximate, and need to be validated. The PCB figure is largely an estimate at this stage, although a reasonable estimate. It does not include the weights of the transformer carcasses or internals.

Significant quantities of other wastes were also identified, such as ethylene dibromide, various laboratory chemicals, HCN cylinders, old medicines, asbestos, hypochlorite, arsenic pentoxide, methyl bromide, waste solvents, and some containers of unknowns.

**OVERHEAD 5****Other Outcomes of the Phase I Work**

- Many contaminated sites were also identified, including the many unsatisfactory landfills in the region. There were six locations of buried pesticides, and one badly contaminated pesticide site. There were also numerous sites contaminated by oil, bitumen, asphalt, timber treatment chemicals, and other chemicals. There were also some potential PCB contamination sites. At least 54 sites in the thirteen countries surveyed were identified as needing further work.
- The Phase I work prompted numerous solutions of immediate problems, such as repacking, relocation, and improvements in safe storage,
- A number of good examples of effective management of hazardous wastes were also identified. The training component of the Phase I work was also considered to have been a success.
- The management of laboratory chemicals and the management of infectious medical wastes were two areas thought to need specific management programmes.
- The report also generally identified the need for institutional strengthening and firming up on legislation to ensure effective management of hazardous wastes.

**OVERHEAD 6****Related Initiatives**

There are several related initiatives to the POPs in PICs Project, and these are listed below. Others will deal with most of them during the course of this workshop, and of course the focus of this workshop is the Stockholm Convention and its National Implementation Plans.

- Stockholm (POPs) Convention
- Hazardous Waste Strategies (SPREP/NZODA)
- Regionally-Based Assessment of Persistent Toxic Substances (PTS) (SPREP/UNEP Chemicals)

- Waigani Convention (SPREP)
- JICA Solid Waste Programme (JICA/SPREP)
- GEF / International Waters Project (SPREP)

## **OVERHEAD 7**

### **Phase II Work**

- SPREP has appointed the project coordinator for the POPs in PICs project, and the Phase II work is now ready to commence.
- The Phase II work predominantly involves the packaging, transport and disposal of the POPs component of the wastes identified in the Phase I work. Most of these wastes are PCBs, and there are also some POPs pesticides to be disposed of.
- The Phase II work is planned to be carried out in four clear component stages, although there will be overlaps in timing.

## **OVERHEAD 8**

### **Component 1: Completion of Regional Inventories and Other Preliminary Work**

- Confirm and obtain written agreement for the disposal operation to proceed.
- Carry out field-testing of all “out-of-service” transformers and collected transformer oil in each country, and collect and send for confirmatory analysis samples of all transformer oils that have tested positive in field tests for PCBs. Some pesticides may also need confirmatory testing.
- Confirm final quantities and locations of PCBs, transformers and pesticides for disposal.
- Review the ease-of-access of the wastes, and make an assessment of how the collection operation will be carried out.
- Secure agreement on the PCB and pesticide removal / clean-up plans between SPREP and each relevant participating country.

## **OVERHEAD 9**

### **Component 2: Collection, Packaging and Shipping to Disposal Facility**

- Prepare “Expression-of-Interest” documents for the Collection, Packaging, Shipping and Disposal Work. (This work may be let as one contract, or it may be split up into two contracts.)
- Prepare tender documents; invite tenders from the short-list from the EOI work, and award contracts.
- Parallel with the tendering work, obtain the necessary Basel / Waigani Convention Permits and carry out other associated administrative work, including securing the consent of transit countries.
- Collect and package the wastes ready for international shipment within each participating country, at suitable staging point(s).
- Transport wastes from each country to the receiving country where the wastes are to be destroyed, and off-load at the nearest suitable port to the destruction facility. It is likely that this will be done as one exercise.

## **OVERHEAD 10**

### **Component 3: Destruction of Wastes**

- Obtain all necessary permits for movement of the waste within the receiving country.
- Transport the wastes to the destruction facility.
- Destroy the wastes.

## **OVERHEAD 11**

### **Component 4: Project and Contracts Management**

- Overall project management and regular reporting to AusAID and the project coordination committee.
- Management of the Operations Contractor(s).
- Liaison with participating governments and all other relevant stakeholders.
- Management of public and civil liability issues.
- Auditing of the collection, packaging, shipping and disposal work.
- Preparation of final complete project report.

## **OVERHEAD 12**

### **Timing**

- *Component 1 work will take about one year,*
- *Components 2 and 3 work will take about 2.5 years.*
- *Component 4 work will run concurrently with the other three components.*

## **OVERHEAD 13 & 14**

### **Some Relevant Questions**

There are some relevant questions, which should be answered at an early stage of the project. These are as follows:

- Should the scope of the exercise be extended to include other “non-POPs” wastes, especially “non-POPs pesticides”? The collection and transport will be an expensive exercise and it may be logical to maximize the effectiveness of the exercise by picking up other wastes that can best be destroyed in the receiving country.
- With regard to PCBs (the majority of the wastes to be picked up), at this stage it is planned to pick up only out-of-service PCB transformers, as well as any stored PCB oils. What should be the policy towards in-service PCB transformers? Should all in-service transformers be examined and likely PCB units identified if possible on the basis of name-plate data? Should at least the leaking and damaged transformers be removed and replaced?
- It seems sensible (at this stage anyway) to exclude other PCB filled items, such as capacitors and light ballasts. There may be exceptions, however, such as if any large capacitors are found, or leaking ones (not typical with capacitors) or if any are collected and stored?
- To what extent should safe storage of the wastes be arranged as part of the Phase II Component I work, until the collections can be organized?
- What in-country resources are likely to be available in each country to assist in the various components of the work? This matter will affect the scope of work of the Operations Contractor(s).
- To what extent should site clean-ups be attempted as part of the Phase II work? The Phase I work revealed considerable evidence of potential site contamination by a range of hazardous wastes. Should a limited cleanup be attempted, at least to the extent of picking up any discolored soil under the wastes to be removed?

- Should an initial review be conducted of destruction options available? This matter is crucial the success of the project, and it would be logical to try to firm up at this stage on which options are available.

### **OVERHEAD 15**

#### **Conclusions**

- Phase I of the POPs in PICs project has been completed satisfactorily, and there is now a good understanding of the extent of the problem, and the types and quantities of wastes arising in the Pacific Region.
- Everything is now in place for the Phase II work to commence, and by this time next year, the Component 1 work should be complete, namely the completion of the regional inventories, as well as all the other preliminary work.
- Components 2 and 3 of the Phase II work will follow in 2003 through to 2005, and the success of this work will depend significantly on how well the Component 1 work is carried out.
- Several important questions need however to be addressed at an early stage of the work.

## Overview of National Implementation Plans

By: Fatoumata Keita-Ouane, UNEP Chemicals

### Overview of National Implementation Plans Under the Stockholm Convention on POPs

#### Overview: Convention

- Stockholm Convention an International legally binding instrument: parties have the intention to be bound legally and not only through political commitment
- The agreement describes the legal obligations of the parties

#### General Obligations

- Develop an implementation plan
- Designate a National Focal Point
- Promote and facilitate a wide range of public information, awareness and education measures
- Encourage/undertake research, development, monitoring and cooperation on all aspects of POPs and their alternatives
- **Report to the COP on:**
  - measures taken by Party to implement the Convention (specific obligations)
  - effectiveness of measures taken
  - data/estimates for total quantities of POPs traded and list of States involved

#### Article 7 - Implementation plans

1. Each Party shall:
  - (a) Develop and endeavour to implement a plan for the implementation of its obligations under this Convention;
  - (b) Transmit its implementation plan to the Conference of the Parties within two years of the date on which this Convention enters into force for it; and
  - (c) Review and update, as appropriate, its implementation plan on a periodic basis and in a manner to be specified by a decision of the Conference of the Parties.
2. The Parties shall, where appropriate, cooperate directly or through global, regional and subregional organizations, and consult their national stakeholders, including women's groups and groups involved in the health of children, in order to facilitate the development, implementation and updating of their implementation plans.
3. The Parties shall endeavour to utilize and, where necessary, establish the means to integrate national implementation plans for persistent organic pollutants in their sustainable development strategies where appropriate.

#### Agenda

- Concept: what is a NIP, an EA, Eas and NAP
- How will it be addressed?
  - Why?
  - Who?
  - How?

### **Concept**

What is a NIP?

- A planning document explaining how the commitment made will be addressed
  - identifies country situation
  - sets priorities for initiating future activities to protect health and environment from POPs
  - provides framework for a country to develop and implement priority policy and regulatory reform, capacity building and investment programmes

What are Enabling activities (EA)?

- A building block of the assistance to countries to strengthen their ability to implement a process for the preparation of the NIPs
  - essential communication requirements for the Convention
  - basic and essential level of information to enable policy and strategic decisions
  - planning that identifies priority activities
- Two main components
  - *Preparation of a National Implementation Plan (NIP)* in each eligible country
  - *Capacity Building Support for Enabling Activities*

And IA and EA?

- GEF implementing and executing agencies

What is an Action Plan (NAP)?

- Action plans are part of a NIP
- Detailed strategic workplans on specific issues
- May cover
  - Source identification
  - Release reduction (of POPs byproducts listed in Annex C)
  - development and maintenance of source inventories and release estimates
  - measures including the use of best available techniques and best environmental practices

### **NIPs: Why?**

Informed decision

- Does the country have termite problem?
- What problems are linked to that?
- What exemptions are needed?
- What actions are required?

Informed Commitment

- How to meet obligations after ratification?

Readiness

- Structure to help implement priority actions

### **National Implementation Plans**

The NIP will:

- inform decision-makers and citizens
- provides a framework for prioritizing activities
- build national institutional capacity to address POPs management and hence chemical management
- promote scientific knowledge, research capacity

### **NIPs: Benefits**

- Assisting countries in understanding the implications of ratification of the Convention with a view to facilitating its entry into force
- Information, awareness and education
- Identify your national situation by
  - making inventories of sources and estimates
  - assessing needs (health, development)
  - assessing regulatory and other mechanisms
  - assessing capacity to manage or dispose of stockpiles or wastes
- Strengthening of focal point
- Determine solutions
  - Set national priorities
  - Plans for enhancing regulatory mechanisms
  - Develop strategies for dealing with POPs
- Meeting the initial reporting obligations of these countries towards the Convention
- Research and development

### **Who?**

- Responsibility
- Partnership
- Stakeholders
- National Institutions having a substantive role in industrial chemicals and or pesticides management
  - Environment
  - Agriculture
  - Industry
  - Health
  - Etc.
- The proposal must be endorsed by country's GEF Operational Focal Point (letter)
- A multi-stakeholder approach is advised
- During project implementation further Identification of relevant stakeholder organizations and institutions
  - Some GEF funds can be used to recruit technical specialists, preferably from host country or region
  - Project will develop mechanisms for institutional co-ordination

### **How?**

- Resources (human/financial/technical)
- Knowledge (guidelines)
- Data requirements

### **How? -- resources**

- GEF is the "interim financial mechanism" for the Stockholm Convention.
- Following Convention guidance, GEF will provide funding to developing and transition countries for the implementation of some activities to address POPs
- GEF will initially help countries strengthen their capacity to organize and develop a *National Implementation Plans* (NIPs).
- GEF will provide funds to cover the agreed full cost, up to a maximum of US\$500,000 per country, for enabling activities using the expedited procedure.

- Requests for more than US\$500,000 will be considered on a case-by-case basis, but will be processed under the normal procedure (PDF-B)

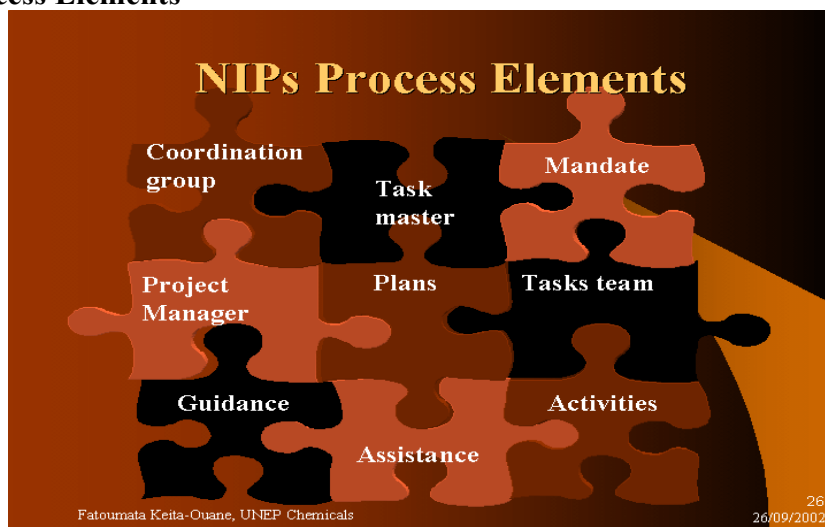
#### **How? – Assistance and Guidelines**

- The “Initial Guidelines” document includes a proposal outline.
- Other guidelines
  - UNEP framework guidelines for NIPs
  - UNEP PCBs inventory (SBC and Chemicals)
  - UNEP Dioxins toolkit
  - FAO inventory and disposal of obsolete stocks
- Contact one of the GEF partner agencies to assist you throughout the application process and during the implementation of the enabling activities

#### **How? - Data requirement**

- The proposal should build on existing knowledge and activities
- Local and regional expertise should be used wherever possible
- Information exchange among countries undertaking enabling activities at the regional or sub-regional level advised
- It may become apparent, in some cases, that regional solutions are best adapted to the problem at hand

#### **NIPs Process Elements**



#### **Building experience: The 12 country pilot project**

- A learning process for broad application
- Basis for the GEF initial guidelines
- Will test and complement generic and technical guidelines for the development of NIPs and the adoption of POPs management options (lessons learned)

#### **What will the full project do?**

##### ***Build National Capacity***

This project represents a direct step towards the establishment of national capabilities and infrastructure to manage POPs and other chemicals.

Enable acceleration of the resolution of national problems in the management of POPs and possibly of other persistent toxic substances that pose adverse effects of a transboundary nature.

### **Expected Outcome of Full Project**

- National Implementation Plans for POPs Management
- Global Guidance for NIP
- Resource requirements for POPs elimination projects

### **How will the full project work?**

#### PILOT COUNTRY APPROACH



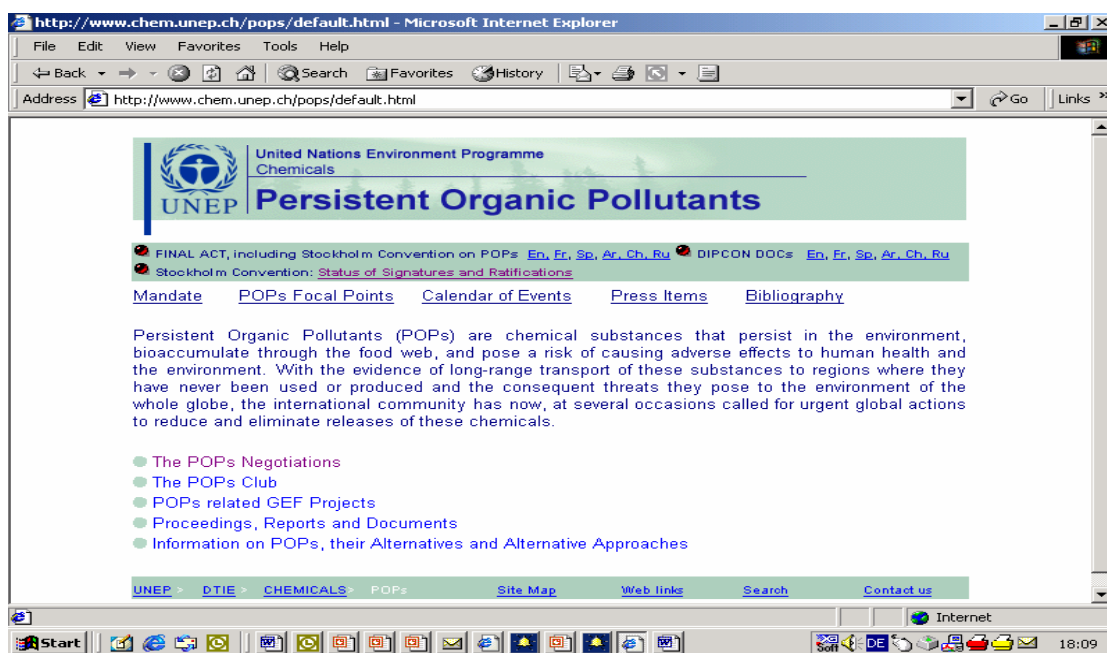
### **The 12 Countries**



### **Companion activities under the full project**

- Other countries will participate in sub-regional consultations organised around the pilot countries to share experience and to encourage them to sign/ratify the Convention and prepare their NIP
- In order to strengthen the capacity of civil society to intervene, small grants will be offered to grass-root organisations in each pilot country for on-the-ground activities (e.g. education, awareness raising).

## Where to Get More Information



<http://www.chem.unep.ch/irptc/Publications/pub-09-012.pdf>

UNEP Chemicals CD-ROM

## Review of Draft Framework for National Implementation Plans Under the Stockholm Convention on POPs

### Draft framework for Stockholm Convention NIPs

- Five-step process
  - Coordination and organization
  - Inventory of POPs & infrastructure
  - Priority setting
  - NIPs and NAPs formulation
  - Endorsement
- Process proposed by expert group & reviewed in 4 regional workshops

### **STEP 1: Co-ordination & organization of process**

- Identification of national institution/unit to serve as Focal Point;
- Identification and sensitization of main stakeholders;
- Strengthening government commitment;
- Determination of multi-stakeholder national co-ordinating committee;
- STEP 1 : co-ordination & organization of process
- Obtain commitment of national stakeholders
- Assess Focal Point needs (technical, human resources, etc.)
- Draw-up overall workplan
- Organize inception workshop
- Identify/assign responsibilities to gov. departments and other stakeholders re. POPs management aspects

**Step 2:** POPs inventory, assessment of infrastructure & capacity

- Preparation of National Profile
- Constitution of task teams
- Training on setting up an inventory
- Preliminary inventory of production, distribution, use, import and export
- Preliminary inventory of stocks and contaminated sites & opportunities for disposal
- Preliminary inventory of releases to the environment
- Independent review of initial national POPs inventories;
- Assessment of infrastructure capacity and institutions to manage POPs, including regulatory controls; needs and options for strengthening them;
- Assessment of enforcement capacity to ensure compliance;
- Assessment of social and economic implications of POPs use and reduction
- Assessment of monitoring and R&D capacity
- Identification of POPs related human health and environmental issues of concern

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

- Development of criteria for prioritisation, taking into account health, environmental and socio-economic impact and the availability of alternative solutions;
- Determination of national objectives in relation to priority POPs or issues (could be general and/or specific objectives);
- Organization of national priority validation workshop.

**Step 4:** Formulation of a NIP and specific Action Plans

- Assign mandates to task teams to develop proposals for addressing priorities;
- Identification of management options, including phasing out and risk reduction options;
- Need for introduction of technologies, including technology transfer; possibilities of developing indigenous alternatives;
- Assessment of the costs and benefits of management options;
- Defining expected results and targets;
- Development of a detailed implementation plan, including action plans for unintentional by-products, PCBs and, where appropriate, for DDT and other POPs as prioritised;
- Expert review of Implementation Plan;
- Preparation of initial funding request package for implementation, including cost estimates and incremental costs;
- Development of a national strategy for information exchange, education, communication and awareness raising, taking into account risk perception of POPs by the public, particularly the least educated.

**Step 5:** Endorsement of the NIP by stakeholders

- Prepare an information document/report to be submitted to stakeholders for comments;
- Lobby high Government officials;
- Workshops and circulation of information to obtain stakeholders and decision-makers commitment, including on resources

## GEF Funding Issues - GEF Initial Guidelines for Enabling Activities

### Funding

- How much
    - up to 500'000US\$ under expedited procedure
    - over 500'000US\$ through normal PDF approach
  - Who can get it
    - Developing countries and economies in transition
    - Signatory of the Convention
  - What it is for
    - Development of a concrete plan (what, how, when and by who and how much)
  - What it is for: concrete plan
    - what is the plan? Elimination of a POPs, continued use under exemption, release reduction, ...
    - how will it be implemented? regulatory changes, technology, alternatives
    - when will it be done? calendar of activities
    - by who? national agencies, other institutions
    - how much will it cost to implement the plan?
  - What it is not for
    - Implementation of POPs elimination project
      - ❖ Destruction of obsolete stocks
      - ❖ Replacement of technology
- n.b:** these belong to the next phase
- Other sources
    - UNEP/World Bank trust fund
    - UNEP capacity-building programme
    - Bilateral agencies
    - Future Capacity Assistance Network
  - Other sources: what can they do?
    - execution of some initial implementation such as disposal of some chemicals
    - companion activities in the form of trainings
    - Funding of activities in non-signatory countries

### **GEF funding request procedure**

1. Sign Stockholm Convention
2. Approach a GEF implementing or executing agency (IA/EA)
  - on the basis of comparative advantages ...
3. Develop a project proposal form
4. Submit form to GEF secretariat through EA
5. Approval of proposal by the GEF

### **GEF Enabling activities: Outline of a Proposal Under Expedited Procedures**

#### Project Identifiers

1. Project Number
2. GEF Implementing/Executing Agency
3. Project Name
4. Country eligibility (signature of Stockholm Convention required)
5. Country
6. Name of GEF national operational focal point & date of endorsement letter

**Summary of Project Objectives, Activities, and Expected Outcomes**

7. Project objectives
  8. Project activities
  9. Project Duration
  10. Project expected outcomes
  11. Estimated budget (US\$/local currency)
  12. Amount requested from GEF(US\$/local currency)
  13. Information on the organization in the country submitting the proposal:
  14. Information on the proposed executing organization (if different from above. The grant has to be executed by an organization in the requesting country):
  15. Date the proposal was submitted to a GEF Implementing/Executing Agency:
  16. Date of proposal submission to GEF
  17. Date the proposal was approved
  18. Date of first Disbursement
- Information to be completed by Implementing Agency
19. Implementing/Executing Agency contact person

**Setting a Budget**

| Activities  | Requested | Comments  |
|---|-----------|---|
| <b>1. Institutional arrangement</b>   |           |   |
| Initiation meeting with high level managers   | In kind   |   |
| Awareness Raising: meeting; publication, media  | XXXX      | 1 meeting with 50 participants travelling from region   |
| Stakeholders meeting and establishment of coordinating group  | In kind   |   |
| Infrastructure and operation costs  |           |   |
| Phone, fax, email, computer, etc.   |           |   |
| Other   | ZZZZ      | Transportation cost                                     |
| <b>2. Assessment of national PTS management infrastructure</b>  |           |   |
| Information gathering   | X000      |   |
| Meeting of task team  | In kind   |   |
| Production of the report or mini-profile  | X000      | No NP I think   |
| OTHER   |           |   |
| <b>3. Development of national PTS Inventory</b>   |           |   |
| Organization of training for national collaborators on the procedures for completing and evaluation a PTS inventory.    |           |   |
| Workshop local cost   | XXXX      |   |
| Technical expert assistance for the development of a national inventory (indicate whether local expertise is available) |           | See development of draft inventory                      |
| Data collection   | YYYY      | Consultant fees. Also includes expert cost.             |
| Internal and external review of the national inventory and preparation of the final report.                             |           |   |
| OTHER   |           |   |
| <b>4. Priority Setting and Determining National PTS Management</b>  |           |   |
| Identification of human health and Environmental issues of national concern related to PTS                              | WWWW      | Subcontracted to the national institute of epidemiology |
| Analysis of the socio-economics of the PTS or activity sector   | XXXX      | Country has appropriate national experts                |
| Production of report  | YYYY      | The national project manager must do this work          |
| Priority setting workshop   | ZZZZ      | To be done mainly by the National coordinating group    |
| OTHER   |           |   |

**National Implementation Plans for the Stockholm Convention**

| <b>Activities</b>  | <b>Requested</b> | <b>Comments</b>   |
|--|------------------|---|
| <b>5. Development of an action plan for PTS management</b>                                     |                  |   |
| National workshop on the development of NAP  | WWWW             | Nn participants coming from 5 regions                               |
| Technical meetings regarding the elements of the NAP (legislation, technology, Pesticides use) | XXXX             | X technical meetings of 2 days with n participants                  |
| Drafting of a national action plan   | YYYY             | Consultant fees. Can be a bit lower in view of all activities above |
| OTHER  | ZZZZ             | International expert assistance                                     |
| <b>6. Adoption of NAP</b>  |                  |   |
| National Coordinating Group Endorsement  | In kind          |   |
| National high level endorsement  | In kind          |   |
| OTHER  |                  |   |
| <b>7. Development of specific National Implementation programmes</b>                           |                  |   |
| Task team meeting  | In kind          |   |
| Production of draft Implementation plans   | In kind          | Task teams and National project manager                             |
| Review and endorsement of NIPs   | XXXX             | External review will also be requested                              |
| Identification of funding sources and follow-up plans  | YYYY             |   |
| OTHER  |                  |   |
| <b>8. Development of an outreaching information dissemination programme</b>                    |                  |   |
| Development of materials and programmes (radio)  | XXXX             | The National Project Manager will do part of the work               |
| OTHER  |                  |   |
|  |                  |   |
| TOTAL COUNTRY ACTIVITY COST  | YYYYY            |   |

## Action Plans under the Stockholm Convention

By: John Whitelaw, UNEP Chemicals

### Action Plan or Strategy?

Convention refers to “action plans” and “strategies”. Both are part of National Implementation Plan.

- Strategy = general approach
- Action plan = detailed steps and activities

### Resolutions

Resolution on interim arrangements

#### The Conference,

- Invites the Committee to focus its efforts during the interim period on those activities required or encouraged by the Convention that will facilitate the rapid entry into force and effective implementation of the Convention upon its entry into force, including, for consideration by the Conference of the Parties, the development of: ...implementation plans and action plans;...

### Action Plans & Strategies

- Article 5 – Unintentional production (HCB, PCB, D/F)
  - Article 6 – Stockpiles and wastes
- Also
- Annex B Part II - DDT

### Article 5 - Unintentionally produced POPs

Convention Goal = “continuing minimization and, where feasible, ultimate elimination” of the total releases of chemicals in Annex C derived from anthropogenic sources

### Annex C, Part I

#### Chemicals

Dioxins and furans (PCDD/PCDF)

Hexachlorobenzene (HCB)

Polychlorinated biphenyls (PCB)

Measures to reduce or eliminate releases of unintentionally produced POPs:

#### Article 5

- action plan
- release reduction or source elimination
- substitute materials, products, processes
- source categories (new and existing):
  - best available techniques (BAT)
  - best environmental practices (BEP)

### Annex C

**An action plan shall:** [Article 5, para. (a)]

- be developed within 2 years of entry into force
  - may be national, regional, or subregional
  - constitute part of the overall implementation plan in Article 7
- identify, characterise and address release of chemicals in Annex C

- facilitate implementation of other requirements in Article 5
- be implemented!
- evaluate efficacy of Party's laws and policies to manage such releases
- develop strategies to reduce releases
- promote education and training on strategies
- review success of strategies every 5 years
  - include this in reports to COP [Article 15]
- include a schedule for implementation of action plan

### Article 6 - Stockpiles & Wastes

**Convention Goal** = to ensure that:

- stockpiles that consist of or contain a POP in Annex A or B, and
- wastes, including products and articles upon becoming wastes, that consist of, contain or are contaminated with a POP in Annex A, B or C are managed in a manner protective of human health and the environment

Note: difference between "stockpiles" and "wastes"

### Article 6: Stockpiles

**Parties shall:**

- develop and implement strategies to identify stockpiles [para. 1 (a)(i) and 1 (b)]
- manage stockpiles in a safe, efficient and environmentally sound manner (ESM) until they are deemed to be wastes [paragraph 1 (c)]
  - *i.e.*, no remaining uses by Party
  - no *specific exemption* or *acceptable purpose*
  - does not apply to stockpiles that may be exported
  - per Article 3, para. 2

### Article 6: Wastes

**Parties shall:** [para. 1 (a)(ii)]

- develop strategies to identify
  - products and articles in use, and
  - wastes that consist of, contain or are contaminated with a POP in Annex A, B or C

**Parties shall:** [para. 1 (d)]

- handle, collect, transport and store wastes in an ESM
- dispose of wastes
  - in such a way that POP content is destroyed or irreversibly transformed, or
  - otherwise in an ESM when
  - destruction or irreversible transformation is not the environmentally preferred option, or
  - POP content is "low", taking into account international rules, standards, etc.
- not allow disposal operations leading to recovery, recycle, reclamation, direct reuse or alternative uses of POPs
- not transport wastes across international boundaries without taking into account international rules, standards and guidelines (*e.g.*, Basel Convention)

**Article 6: Contaminated Sites**

**Parties shall:** [para. 1 (e)]

- endeavour to develop strategies for identifying sites contaminated by POPs in Annex A, B or C and,
- if remediation is attempted, do it in an ESM

Note: Remediation is not required by the Convention

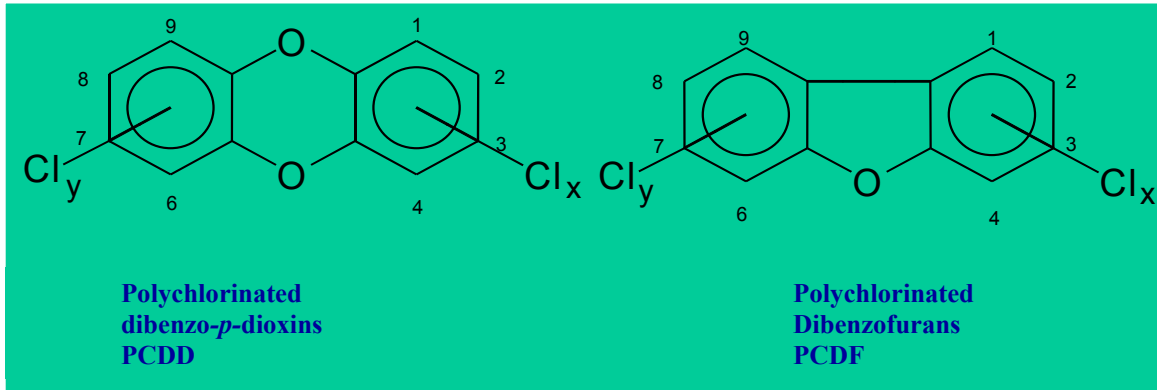
**Elements of an Action Plan**

- Objectives and priorities
- Inventories
  - Results of initial inventories
  - Refining/extending/updating inventories
- Environmental & health risks
- Measures for reduction/elimination
- Implementation (strategy, organisation, activities)
- Key investment requirements
- Costs and financing

**Dioxins Formation during Combustion/Incineration and the Relevance to Waste Management (especially Landfills and Medical Wastes)**

By: Bruce Graham, SPREP

**PCDD and PCDF (dioxins and furans)**

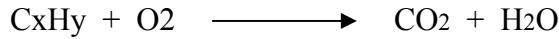


**DIOXIN SOURCES**

**(Clean) Fuel Burning**

Fossil fuels: gas, petrol, diesel, oil, coal

Combustion



By-products

Particulates, SO<sub>2</sub>, CO, Nox, dioxins, PCBs, PAH

**Waste Combustion**

Organics + oxygen + heat  $\longrightarrow$  CO<sub>2</sub> + H<sub>2</sub>O  
[plus smoke + aldehydes + PAH + PCBs + dioxins]

metals  $\longrightarrow$  vapour (Hg, As) + ash (all)

organochlorines (PVC)  $\longrightarrow$  HCl (acid)

glass, other inorganics  $\longrightarrow$  ash, clinker



Rubbish burning is potentially a major source of dioxins in Pacific Islands.

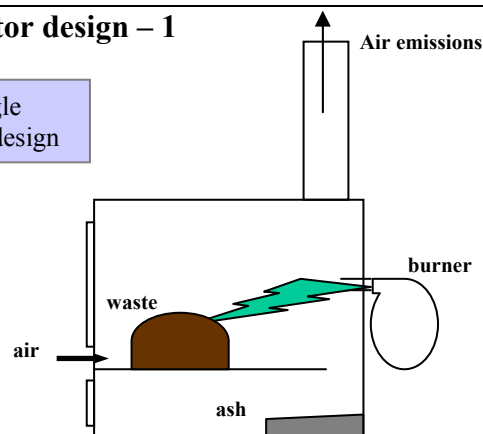
### 3.2 Medical Wastes

- swabs and dressing
- needles/sharps
- body parts and fluids
- lab and cleaning chemicals
- drugs, pharmaceuticals

(Sources: hospitals, clinics, veterinary)

#### Incinerator design – 1

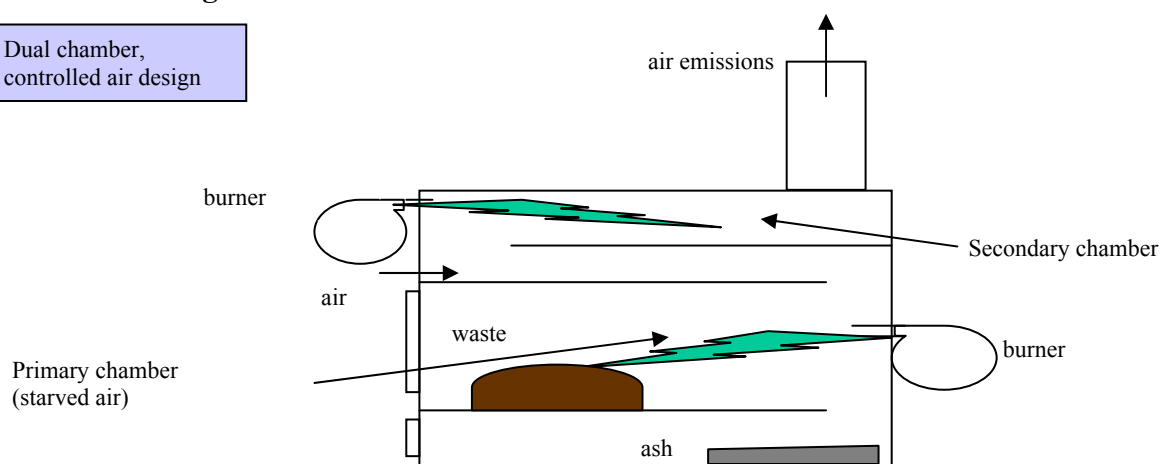
Basic single chamber design



**Design Criteria:** Temperature: moderate  
Residence time: poor  
Turbulence: poor  
Excess: poor

#### Incinerator design – 2

Dual chamber, controlled air design



**Design Criteria:** Temperature: high  
Residence time: high  
Turbulence: high  
Excess air: good

#### Disinfection/Sterilisation Technologies

- Chemical (e.g: chlorine, formaldehyde), steam (autoclave), microwave (steam) or radiation
- Usually combined with shredding to ensure complete penetration and/or to make the waste unrecognizable
- Still requires landfill disposal
- Not suitable for body parts or chemicals and pharmaceuticals

#### Local Variations

Tokelau: chlorine disinfection of needles and sharps, then mix into concrete and bury.

Marshall Islands: currently sterilizing in hospital autoclaves, followed by burning in a 40 gal drum incinerator.  
Also refer WHO guidelines.

**Dioxins Reduction Options**

Transport: engine tuning, use cleaner fuels, alternative fuels (electric)

Electricity: solar, wind, etc

Rubbish burning: waste minimization, proper landfill management

Incinerators: emission controls, alternative technologies (e.g: steam sterilization).

## Financial Assistance

By: John Whitelaw, UNEP Chemicals

### Financial & Technical Assistance

Convention Specifies :

- Developing countries and countries with economies in transition will need technical and financial assistance
- Regional and subregional centres will be established for capacity building and transfer of technology to assist countries in need
- Developed countries have undertaken to provide technical assistance and new and additional financial resources to meet agreed full incremental implementation costs
- Global Environment Facility (GEF) has been named as the principal entity of the interim financial mechanism to fund capacity building and other related activities

### GEF's Initial Assistance

- GEF will initially help countries strengthen their capacity to prepare National Implementation Plans (NIPs) - "enabling activities."
- The NIP will help countries identify and set priorities for capacity building, policy and regulatory reforms, and investments needed to address the issue of POPs.
- GEF document "Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants" for information on NIP-eligible activities.

### How much funding is available from GEF?

GEF will cover the agreed full cost for enabling activities:

- up to US\$500,000 per country through expedited procedure,.
- more than US\$500,000 on a case-by-case basis

### How can I apply for GEF funding?

- The "Initial Guidelines" document includes a proposal outline.
- Contact one of the GEF's partner agencies to assist you throughout the application process and during the implementation of the enabling activities

### GEF Partner Agencies

- United Nations Environment Programme
- United Nations Development Programme
- World Bank
- African Development Bank
- Asian Development Bank
- European Bank for Reconstruction and Development
- Food and Agriculture Organization
- Inter-American Development Bank
- UN Industrial Development Organization

### Working with GEF

The main GEF principles to bear in mind when developing a proposal are:

- The proposal must have an endorsement letter from the country's GEF Operational Focal Point
- The proposal should build on existing knowledge and activities
- Local and regional expertise should be used wherever possible

- GEF resources should be used efficiently

#### **Eligibility Criteria**

- In the interim period: developing countries and countries with economies in transition.
- After entry into force, the COP will provide guidance on criteria.

#### **GEF's early assistance**

- NIPs
- capacity building needs of countries to address POPs
  - will address more general chemicals management issues
  - will strengthen implementation of Basel, Rotterdam, Waigani & Bamako Conventions

#### **Eligible Activities**

- Preliminary inventories of sources and emissions of POPs;
- Action Plan for the reduction of releases of unintentional by-products;
- Action Plan to control the use of DDT for disease vector control;
- Build capacity to report every five years on progress in phasing out PCBs;
- Preliminary assessment of stockpiles of POPs and of waste products contaminated with POPs; identification of management options, including opportunities for disposal;
- Build capacity to report to the COP on total production, import and export;
- Build capacity to identify sites contaminated by POP.
- Build capacity to assess the need of continued specific exemptions and preparation of their reporting/extension;
- information exchange, and awareness raising through multi-stakeholder participatory processes.

#### **Steps for expedited procedures**

- Choose a GEF Implementing (WB, UNDP, UNEP)/ Executing Agency (FAO, UNIDO, RDBs) that you are comfortable with.
- Finalise proposal with IA/EA. IA/EA to exercise quality control.
- Seek Country's Operational Focal Point endorsement.
- Proposal is submitted to the GEF Secretariat by IA/EA on behalf of Country.
- Proposal is circulated to other IA/EA for comments.
- GEF Secretariat may request additional information / clarifications etc.
- the GEF CEO and Chairman approves proposals < US\$ 500,000.
- Country and IA/EA sign project document which is the legal basis for disbursement of funds from the IA/EA.

#### **Format for proposal**

- Cover page
- Project description
- Timetable and workplan
- Budget
- Optional annex: background information on country situation
- Endorsement

### **Other Funding for POPs**

Resolutions from DipCon:

- encourage involvement of private sector and NGOs
  - Other entities providing assistance urged to contribute to this effort
  - Invites GEF to take into account the needs for the implementation of the Convention in developing its capacity building strategy and to report to INC-6
- UNEP has access to >\$2 m from donors for POPs
  - Co-financing GEF projects
  - Stand-alone projects
- Direct funding from donors

### **Capacity Assistance Network (CAN)**

- During the negotiations, the need to establish some sort of mechanism to facilitate the provision of technical and financial assistance was recognized.
- Recognised that, without this, many countries would not get assistance needed to meet their obligations under the Convention.
- Recognised also that many countries with specific needs have great difficulty gaining access to available bilateral and multilateral financial and technical assistance.

#### **Reasons included:**

- Lack of information on the kinds of activities the various funding sources will support.
- Lack of human resources and know-how needed to successfully complete the application requirements of each funding source.

#### **It was suggested that:**

- an active clearinghouse mechanism or broker could help match needs for assistance with potential sources (technical and financial) of this assistance
- Capacity Assistance Network (CAN) proposed

#### **DipCon Resolution 3 deals with CAN:**

- Para 2 requests UNEP and the GEF, acting in cooperation, to develop the modalities for a CAN that will:
  - Identify and maintain an inventory of sources of assistance outside those to be provided by the GEF;
  - Assist signatories, upon request, to identify and access such sources of funding;
    - Provide signatories with information on categories, sources and requirements for accessing available assistance; and
    - Encourage the involvement of private sector and non-governmental organizations in providing assistance
- Need to report back to INC-6

#### **Preliminary considerations:**

- Build on existing networks and sources of expertise
- Integrate and support the Stockholm Convention Focal Points
- Utilise regional and sub-regional expertise
- Cost
- One option is a decentralized organizational structure, with three levels
  - National – Stockholm Convention Focal Points

- Regional & sub-regional centres to provide technical assistance and promote technology transfer (built on to existing institutions )
- Central Unit (joint GEF/SC Sec)
- National
  - identifying technical assistance needs within their countries and communicating these needs to the CAN.
  - overseeing the development of proposals for assistance working with the help of CAN subregional centers and the CAN global center.
- Regional & Sub-regional
  - advice to & support for SC focal units on submitting proposals for assistance through the CAN
  - help in identifying technical resources (e.g., consultants) within their regions or subregions
- Global
  - assist SC focal points in preparing applications for assistance for projects relating to the implementation of the Convention
  - maintain strong working relationships with potential sources of funding for these types of projects (e.g., aid agencies and multilateral development banks)
  - serve as a broker to match project proposals with potential donors to fund them
- An added advantage
  - scope for supporting initiatives that, in addition to promoting implementation of the Stockholm Convention, also support implementation of other multilateral environment agreements that have complementary missions (e.g., Basel, Waigani, Bamako, Rotterdam Conventions).
- Comment and input is welcome
  - types of assistance
  - how a capacity assistance network might best operate to match needs for technical and financial assistance to potential sources of the assistance
- Participants are requested to submit input on this to the Interim Secretariat by 14 February 2002.