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INTERGOVERNMENTAL NEGOTIATING COMMITTEE FOR AN  
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FOR IMPLEMENTING INTERNATIONAL ACTION ON  
CERTAIN PERSISTENT ORGANIC POLLUTANTS

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Item 5 of the provisional agenda\*

PREPARATION FOR THE CONFERENCE OF THE PARTIES

Guidance document for developing national implementation plans of the  
Stockholm Convention on Persistent Organic Pollutants: Part A\*\*

Note by the secretariat

As mentioned in UNEP/POPS/INC.6/20/rev.1, attached to the present note is information provided by the secretariats of the World Bank and United Nations Environment Programme. The information has been circulated as submitted and has not been formally edited.

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\* UNEP/POPS/INC.6/1

\*\* Stockholm Convention, article 7.

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**United Nations Environment  
Programme**  
DIVISION OF TECHNOLOGY, INDUSTRY AND  
ECONOMICS  
Chemicals

**The World Bank**  
INTERNATIONAL BANK FOR  
RECONSTRUCTION AND DEVELOPMENT  
INTERNATIONAL DEVELOPMENT  
ASSOCIATION  
POPs/Montreal Protocol Operations

A decorative graphic consisting of several keys and a paperclip arranged in a circular pattern around the title text.

# **Guidance on Planning and Developing National Implementation Plans Under the Stockholm Convention**

**Preliminary Issue  
June 2002**

*NOTE*

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The information is provided as an indication of the state of knowledge on the National Chemical management planning, but does not presume to be comprehensive or exhaustive. The publishers disclaim all liability for direct or consequential damages resulting from the use of the Guidelines document.

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The **Inter-Organization Programme for the Sound Management of Chemicals (IOMC)** was established in 1995 by UNEP, ILO, FAO, WHO, UNIDO, and OECD (Participating Organizations), following recommendations made by the 1992 UN Conference on Environment and Development to strengthen cooperation and increase coordination in the field of chemical safety. In January 1998, UNITAR formally joined the IOMC as a Participating Organization. The purpose of the IOMC is to promote coordination of the policies and activities pursued by the Participating Organizations, jointly or separately, to achieve the sound management of chemicals in relation to human health and the environment.

**A UNEP/WORLD BANK document prepared by COWI  
with DANCED funding**

## Foreword

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During the negotiations of the Stockholm Convention on Persistent Organic Pollutants, UNEP Chemicals initiated a Global Environment Facility (GEF) funded project to assist countries with the development of their national implementation plans (NIPs) for managing (Persistent Organic Pollutants) POPs. The project aims at strengthening national capacities to manage POPs and at assisting countries in meeting their obligations towards the Stockholm Convention. It is being implemented in 12 countries (Barbados, Bulgaria, Chile, Ecuador, Guinea, Lebanon, Malaysia, Mali, the Federated States of Micronesia, Papua New Guinea, Slovenia and Zambia). As a part of this project, the World Bank and UNEP Chemicals have prepared generic technical guidelines for the development of a NIP. These guidelines build on and are intended to be fully compatible with the “Initial Guidelines for the funding of POPs Enabling Activities, including National Implementation Plans” adopted by the GEF Council at its May 2001 meeting.

The present draft of this Guidance Document has been developed under an agreement between the World Bank and UNEP with the financial support of DANCED. As far as possible this document is based on existing national and international guidelines related to POPs. It has been reviewed by an international panel composed of representatives of UNEP, UNITAR, UNDP, FAO, UNIDO, the World Bank, WWF, WCC, Chile, Denmark, Sweden, Switzerland and Zambia. The continuous input from this review group at a review meeting and thereafter via distance editing has helped in streamlining the Guidance Document and adjusting its content to the needs of the various users. The development of this document has benefited from the involvement of the United Nations Institute for Training and Research, both as a result of its existing guidance documents and the contribution of its staff to the drafting process.

Questions relating to the Stockholm Convention should be addressed to the Interim Secretariat for the Stockholm Convention, <http://www.chem.unep.ch/sc/contact.htm>.

Hardcopy and electronic versions of this document can be obtained from UNEP Chemicals on request or via the Internet:

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## Executive Summary

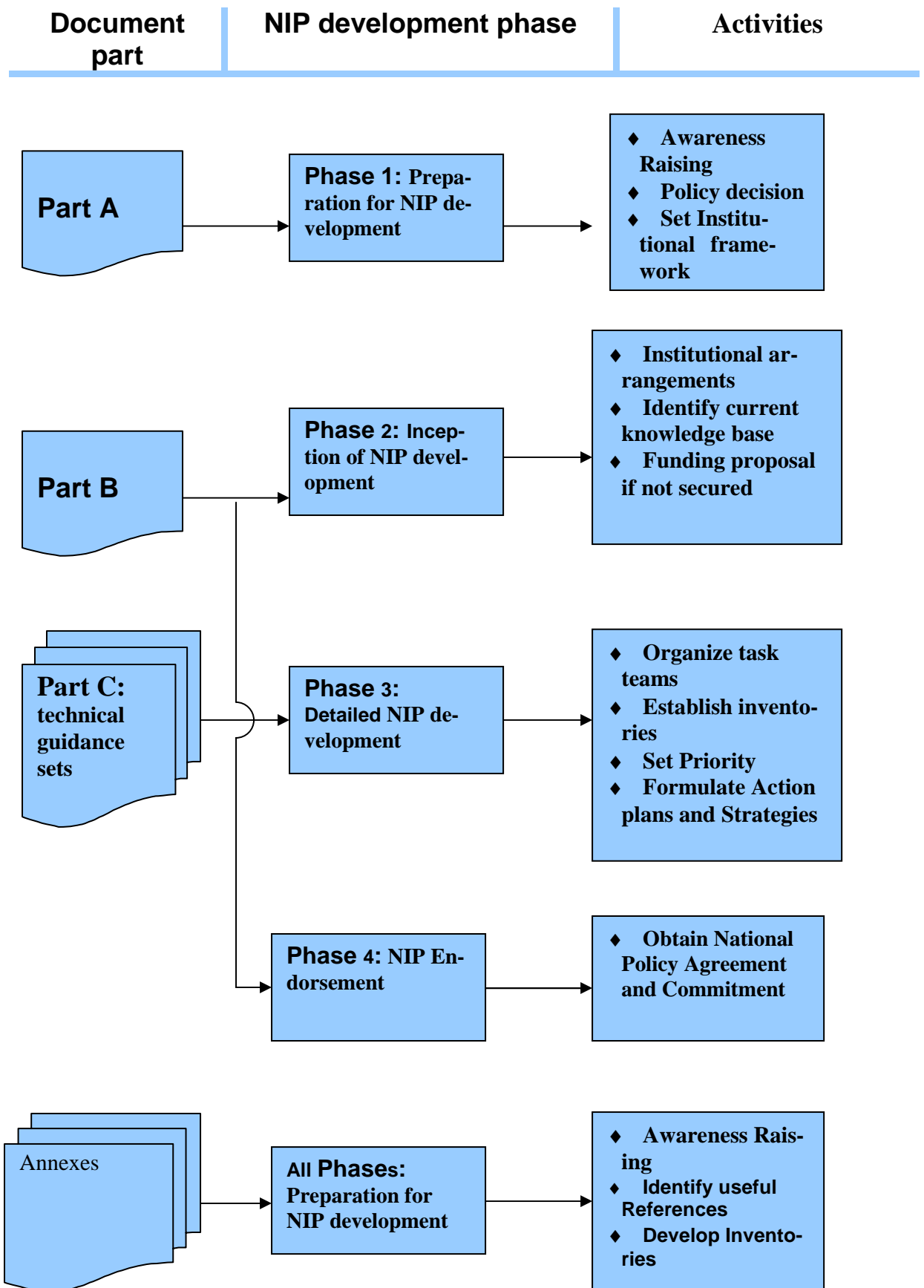
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NIP	<p>The National Implementation Plan (NIP) is a document setting out a programme framework within which a country can develop and implement policy, regulatory and institutional measures and response actions to reduce or eliminate releases of persistent organic pollutants (POPs). Parties to the Stockholm Convention are required to prepare and record such a National Implementation Plan detailing the measures they intend to take in meeting their obligations under the Convention.</p>
Aim of the Guidance Document	<p>This Document aims to assist countries in preparing a National Implementation Plan (NIP) as required by Article 7 of the Stockholm Convention on Persistent Organic Pollutants. At a national level, it is intended for use by those directly involved in the supervision and actual work of NIP preparation. It proposes formats that can be used for collecting national baseline data and drafting plans and strategies to be included in the NIP. It is consequently non-prescriptive. It should be viewed as a dynamic planning tool that will be updated and refined.</p>
Framework	<p>The Guidance Document is developed under the framework of the project funded by the Global Environment Facility (GEF) for the Development of NIPs in 12 countries and will be tested in that context as well as by other countries<sup>1</sup> that are engaged in their NIPs work. This draft of the document will be used by the 12 countries taking part in the UNEP/GEF project as well as individual countries in developing their national implementation plans. The experience gained and lessons learned during this initial period will be used to amend the Guidelines.</p>
Structure	<p>This document is formed of three levels intended to assist different user groups getting appropriate guidance during the NIP development (fig.1). A first level of guidance or Part A provides the general overview of the Guidance Document, the NIP context, scope and content; the second level or Part B details the organization process at the national level for NIP preparation as well as the detailed structure of a NIP; the third level or Part C comprises technical guidance sets on specific POPs or Convention related issues. The guidance sets inform the user about the organization for, the preparation and the possible structure and content of the actual Action plan and strategy documents. Furthermore a number of Annexes are included that elaborate on the Stockholm Convention obligations, list internationally accepted guidance material recommended for adoption and identify other reference material that may be useful in developing an NIP.</p>

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<sup>1</sup> As of May 2002, the GEF has approved proposals from 55 developing countries and countries with economies in transition for the development of Stockholm Convention NIPs.

**Fig.1**



**Guidance on Planning and developing  
National Implementation Plans (NIPs)  
under the Stockholm Convention**

**PART A  
GENERAL OVERVIEW**

**Preliminary Issue  
June 2002**

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For reasons of economy, this document is printed in a limited number. Delegates are kindly requested to bring their copies to meetings and not to request additional copies.







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# 1 Introduction to Part A

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The development process of a NIP is a major policy activity that will determine for countries and the donor Community a rationale for assigning priorities as to the selection of options aimed at the control or elimination of POPs and the main assistance needs of countries.

The NIP development should therefore be coordinated and supervised by high-level decision makers for broad base national acceptance of its conclusions and recommendations. This part of the Guidance Document is intended to clarify for the decision makers the intentions of the document as well as an overview of the NIP development process and products.

## 2 Objectives of the Guidance Document

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The Stockholm Convention has the fundamental requirement that Parties to the Convention develop plans for the implementation of their obligations under the Convention. However, no standards or guidance for preparing of the required strategies, action and implementation plans are provided in the Convention text and to date they have not been formally developed and agreed upon by the Intergovernmental Negotiating Committee (INC).

Additionally, the Initial Guidelines for the funding of POPs "enabling activities including National Implementation Plans<sup>2</sup>" adopted by the GEF Council at its May 2001 meeting and which are recommended for use by countries wishing to access GEF funding and which provide a general framework including a 5-step process for organizing the development of a NIP in a country<sup>3</sup>, do not provide a detailed description of how a particular activity should be implemented. Therefore, the present detailed Guidance Document is intended as a supplement of the existing GEF Council approved guidelines.

### 2.1 Main objective of the Guidance Document

The main objective of the Guidance Document is to assist countries in preparing National Implementation Plans (NIPs) that will set out how they will address the POPs issue in the context of the requirements of the Stockholm Convention. The document suggests a step-by-step approach to the process for preparing the NIP and also identify the possible structure, format and content for the NIP. National authorities and officials endeavouring to prepare the NIP will also be directed to further relevant information sources that will support the development of the policy and technical action plans and strategies and their integration into one main planning instrument dealing with POPs.<sup>4</sup>

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<sup>2</sup> Initial guidelines for enabling activities for the Stockholm Convention on persistent organic pollutants GEF/C.17/4

<sup>3</sup> As of May 2002, proposals from 60 developing countries and countries with economies in transition had been submitted to the GEF for approval, based on these guidelines

<sup>4</sup> In special cases a country may wish to develop separate plans for one or more of the POPs categories covered by the Convention, e.g. for pesticides, industrial chemicals and/or releases from unintended by-products.

## 2.2 Broader objectives

The Guidance Document also aims to assist countries in establishing a state of preparedness for dealing with POPs covered by the Convention, as well as other chemicals that exhibit POPs characteristics and may be included in the Convention in the future. It will also point to information sources on POPs management, international and regional action to control POPs and technology alternatives. This includes relevant tools or instruments (guidelines, manuals etc.) developed and applied in relation to the POPs issues or other environmental conventions and protocols.

## 2.3 Target group

The main users of the document would be officials and staff at all levels in government bodies such as a Ministry of the Environment and subordinated environmental organisations as well as other ministries with responsibilities in the areas of POPs or impacted by the control of them. The Document will also be useful to other POPs related stakeholders such as environmental organisations, international financial institutions and assistance agencies, Non-Governmental Organisations (NGOs), power utilities, associations within industry and agriculture and researchers/professionals involved in POPs management initiatives.

# 3 Organisation of the Guidance Document

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## 3.1 Information levels

The Guidance Document has been structured/organized in order to provide information at three different levels of detail. These levels have been designed to meet the information needs of three distinct groups of users:

Level 1 - Part A is primarily targeted to policy level officials involved in formal approvals and formal government decisions. It is presumed that such users need only a short overview of the Guidance Document and the reasons for its development. It is however recommended for all other users to start with this part A to have a general understanding of the NIP development.

Level 2 - Part B is targeted to decision-makers who need a deeper understanding of the process for the development of a National Implementation Plan as well as its content. It is also likely to be of interest to those with direct responsibility for organising and managing the NIP preparation process.

Level 3 - Part C is targeted to those people responsible for preparing the National Implementation Plan. It contains detailed technical guidance on the preparation of the individual components of the Plan.

Those specifically working level professionals, actually preparing sections of the NIP and its detailed elements will need to give attention to the technical guidance sets composing Part C of the document. It comprises subject specific Guidance sets addressing the preparation of the detailed NIP components under the following headings:

- 1 NIP Sections on Overarching and Cross-Cutting Issues
- 2 POPs Pesticides
- 3 Polychlorinated Biphenyls - PCBs
- 4 Releases from Unintentional Production of PCDDs/PCDFs, HCB and PCBs
- 5 POPs Contaminated Sites

- 6 POPs Information Access, Use and Reporting
- 7 Monitoring of Releases and Environmental Health Impacts
- 8 Public Information, Awareness and Education

Guidance Set 1 includes guidance on the preparation and development of a number of NIP sections. The subjects and issues covered are of an overarching and/or cross-cutting nature such as the institutional, policy and regulatory issues for POPs management and policy and strategy-oriented section of the NIP. They have been grouped together in the set since the NIP sections concerned would in many instances be developed by the same group of persons, typically from a number of ministries and other government organisations. However, all working professionals involved in developing the specific NIP sections would benefit from reading or screening this guidance set.

The annexes include formats for some issue- and chemical-specific baseline determination activities (Annex 1), the full list of Stockholm Convention requirements, (Annex 2), lists of existing Guidance Documents (Annexes 3) and a glossary (Annex 4).

## Information levels

<b>Level 1</b>	<p><b>Part A</b> Guidance for Planning and Developing Stockholm Convention NIP: <b>General Overview</b></p> <p><b>Target group:</b></p> <ul style="list-style-type: none"><li>- Policy level officials</li><li>- All who needs short presentation</li></ul>
<b>Level 2</b>	<p><b>Part B</b> Guidance for Planning and Developing Stockholm Convention NIP: <b>Detailed Process Manual</b></p> <p><b>Target group:</b></p> <ul style="list-style-type: none"><li>- Decision-makers</li><li>- NIP preparation managers and supervisors</li></ul>
<b>Level 3</b>	<p><b>Part C</b> Guidance for Planning and Developing Stockholm Convention NIP: <b>Technical Guidance</b></p> <p><b>Target group:</b></p> <ul style="list-style-type: none"><li>- Especially working level professionals</li></ul> <p><b>Annexes</b></p> <ol style="list-style-type: none"><li>1 Formats for Baseline Activities</li><li>2 Stockholm Convention Requirements</li><li>3 Existing Guidance Documents</li><li>4 Glossary</li></ol> <p><b>Target group:</b></p> <ul style="list-style-type: none"><li>- Especially working level professionals</li></ul>

## 4 The NIP Context

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The Stockholm Convention

The Stockholm Convention on POPs is a global environmental treaty developed under the auspices of the United Nations Environment Programme. It aims to protect human health and the environment from POPs. The Convention is a legally binding instrument that requires Parties to take measures to reduce or eliminate releases of the POPs covered by the Convention. The Convention enters into force once it has been ratified by 50 governments.



## 4.1 POPs groupings in the Stockholm Convention

The twelve POPs defined within the Convention have been grouped in three categories for purposes of control measures:

*Table Groupings of POPs in the Stockholm Convention*

Annex	Substances Covered
Annex A: Substances Subject to Elimination	<ul style="list-style-type: none"><li>• Aldrin, chlordane, dieldrin, endrin, heptachlor, hexachlorobenzene, mirex and toxaphene;</li><li>• Polychlorinated biphenyls (PCBs).</li></ul>
Annex B: Substances Subject to Restricted Use	<ul style="list-style-type: none"><li>• DDT</li></ul>
Annex C: Unintentionally Produced Substances	<ul style="list-style-type: none"><li>• Dioxins and furans (PCDDs/PCDFs);</li><li>• Hexachlorobenzene (HCB); and</li><li>• Polychlorinated biphenyls (PCBs).</li></ul>

Annex A Except for PCBs, the chemicals listed in Annex A are all pesticides used for controlling pests, such as insects and small animals.

PCBs are a class of industrial chemicals used as cooling fluids in transformers, dielectric fluid in capacitors and as additives in paint, plastics, sealants, carbonless paper, etc.

Annex B DDT in Annex B is also a pesticide. It is primarily used for combating insects, chiefly mosquitoes that carry diseases such as malaria and typhus.

Annex C Annex C includes a series of chemical by-products that are produced unintentionally from industrial and natural processes. Dioxins and furans are products of incomplete combustion and a residual pollutant from chlorine based chemical processes such as bleaching. Other Annex C chemicals are unintended by-products of production processes particularly related to the production of pesticides and chlorinated substances.

As well as being an industrial chemical, PCBs can be unintentionally formed by-products released from thermal processes. Similarly, HCB is both used as a pesticide and formed as a by-product of the manufacture of certain industrial chemicals.

## 4.2 The Convention Requirement Check List

Obligations of Parties The Convention specifies the measures that Parties must take in order to meet the objectives set forth and the obligations thereof. The obligations include regulatory measures with regard to production, import, export, use, disposal and unintentional releases of POPs, and the promotion of best available techniques and best environmental practices (BEP) for replacing existing POPs and or minimising their release, while at the same time preventing the development of new POPs. These obligations will be the driving force for the development of the NIP document.

The major obligations for Parties are to:

- Prohibit and/or take legal and administrative action necessary to eliminate production and use of Annex A chemicals (aldrin, chlordane, dieldrin, endrin, heptachlor, hexachlorobenzene, mirex, toxaphene and PCBs) – Article 3.1(a);
- Restrict production and use of Annex B Chemicals (DDT) - Article 3.1(b);

- Ensure that chemicals listed in Annex A or Annex B are imported only for the purpose environmentally sound disposal or for a use permitted for the Party under either annex – Article 3.2(a);
- Ensure that chemicals listed in Annex A or Annex B are exported only for the purpose of environmentally sound disposal, to a Party that has a permitted use of the chemical under either of the annexes or to a non-Party that certifies that it is committed to comply with certain provisions of the Stockholm Convention – Article 3.2(b);
- Take measures under existing regulatory and assessment schemes to prevent the production and use of new pesticides and industrial chemicals exhibiting the characteristics of POPs and take the criteria for identification of POPs into consideration in such schemes - Article 3.3, Article 3.4
- Register specific exemptions to Annex A or Annex B if needed and upon becoming a Party and, if an extension such a registration is to be requested, provide a suitable justification report for the extension - Article 4.3, Article 4.6;
- Develop and implement an action plan on a national, sub-regional or regional basis, as appropriate, for the reduction of total releases of Annex C chemicals (PCDD, PCDF, HCB, PCB) from anthropogenic sources within two years of becoming a Party – Article 5;
- Manage POPs stockpiles and wastes in a manner protective of human health and the environment including developing strategies for their identification, and application of environmentally sound handling, collection, transport and disposal measures - Article 6.1;
- Prohibit disposal of POPs stockpiles and wastes involving or leading to recovery, recycling, reclamation, direct use or alternative use - Article 6.1 (d) (iii);
- Regulate transboundary movement of POPs stockpiles and waste POPs in accordance with international rules, standards and guidelines - Article 6.1 (d) (iv)
- Submit a national implementation plan to the Conference of the Parties within two years of becoming a Party and review the plan on a periodic basis - Article 7.1;
- Designate a national focal point for exchange of information on POPs - Article 9;
- Exchange information with other Parties related to reduction or elimination of production, use and release of POPs and alternatives to POPs - Article 9;
- Provide the public with access to current information on POPs including information relating to health and safety of humans and the environment - Article 10.2.
- Provide technical assistance, if a developed country, to developing countries Parties and Parties with economies in transition - Article 12.1, Article 12.2;
- Provide financial support and incentives for national activities intended to achieve the objective of the Convention - Article 13.1;
- Provide of financial support, if a developed country, to developing country Parties and Parties with economies in transition for agreed incremental costs associated with meeting their obligations under the Convention - Article 13.2;

- Provide periodic reports to the Secretariat on implementation of Convention provisions including statistical data on production, import and export of Annex A and Annex B chemicals - Article 15.1, Article 15.2.

A more extensive description of the Convention provisions that create obligations on Parties is contained in Annex 2.

## 5 The NIP Concept and objectives

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The National Implementation Plan (NIP) is a formal planning document developed by a country that is or intends to be a party to the Stockholm Convention on Persistent Organic Pollutants (Stockholm Convention). It will be prepared by a national authority responsible for POPs. Furthermore, for purposes of implementation, it will be endorsed by the Government as an integral part of a country's overall national environmental policy and sustainable development strategy, and for presentation to the Conference of the Parties (COP) of the Convention as required by Article 7.

### 5.1 Basic concepts and themes

The overall process of NIP preparation should emphasise a number of basic concepts and themes throughout. The NIP should:

- build on existing programmes and activities
- consider country priorities at an early stage
- fully integrate with a country's overall institutional and regulatory system
- involve stakeholders within and outside the government
- integrate with the national chemical management system and the national sustainable development policy.
- be carried out in co-ordination with relevant government departments, the NIPs and the Stockholm Convention Focal Points, the Designated National Authorities for the Rotterdam Convention, the Basel Convention Focal Point and the GEF Operational Focal point where appropriate.

### 5.2 Objectives of the NIP

Main objectives

The NIP offers a framework for a country within which it can develop POPs related policy instruments and identify management options, the implementation of which enables the country to meet provisions of the Convention. The basic objectives are:

- To serve as a national instrument defining a country's commitment to addressing the POPs issue and the framework within which it is to be addressed as part of a national policy on chemical management, environmental protection, public health and sustainable development.
- To provide the required documented demonstration of what a country intends to do to meet the obligations it assumed as a Party to the Stockholm Convention.
- To establish a baseline for the determination of implementation activities and their costs and hence facilitate attracting financial assistance including from the convention's financial mechanism.

- To facilitate ratification of the convention.

Associated objectives

The NIP document and process of its development and implementation can also contribute to country's overall efforts in:

- addressing related environmental and chemical management issues and overall pollutant releases;
- coordinating national approaches to other international environmental conventions and agreements specifically the Rotterdam Convention on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade and the Basel Convention on the Control of Transboundary Movements of Hazardous Waste and their Disposal; and
- developing and strengthening national sustainable development strategies.

## 6 NIP Scope and Contents

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Principal messages of the NIP

The specific scope of the NIP document for any country will be defined by both the requirements of the Convention and by country specific priorities in developing a national response to global environmental issues. The scope may also reflect the requirements applicable to international assistance such as that presently available from the GEF. It should constitute a formal national planning document, endorsed as policy by the Government and defines:

- the country's commitments to addressing the POPs issues;
- the country-specific elements and response priorities;
- the institutional, regulatory and operational measures proposed to reduce and ultimately eliminate POPs releases inclusive of estimated costs, time schedules and financing; and
- measures to prevent the production and use of new chemicals that exhibit the characteristics of POPs.

### 6.1 Principal sections of the NIP

The Stockholm Convention does not specify a particular format for the NIP. The format proposed here has been developed with a view to accommodating the various principles, issues and obligations covered in the Convention. For purposes of presenting guidance on NIP preparation, the NIP document can be divided into three sections:

- **Introduction:** defines the context of the overall objectives of the NIP in relation to the country's national chemical management policy and its participation in the Stockholm Convention.
- **Country baseline:** provides a snapshot of where the country is at the moment of initiating the NIP process and can be a reference point for developing action plans and strategies for POPs reduction or elimination. It may also serve to define the baseline

used by the financial mechanism of the Convention in determining costs eligible for funding.

- Action plans and strategies: sets out the core elements of the NIP including national policy commitment, action plans, implementation strategy, timetable and investment priorities.

## 6.2 Indicative Table of Contents of a NIP document

The following provides an indicative Table of Contents illustrating the possible scope of the NIP document and how it can be structured in a systematic way.

The NIP should present sufficient information to show that all Convention obligations are being addressed. However it should be noted that not all items listed in this Table of Contents, are applicable to all countries.

<p>(Name of Country)</p> <p><b>National Implementation Plan for Persistent Organic Pollutants</b></p> <p><b>Executive Summary</b></p> <p><i>The Executive Summary would be a concise overview of the major points in the NIP, from two to four pages in length and potentially suitable for independent circulation. It would typically cover country commitment, linkage to the Convention, national issues and priorities, targets for implementation and resource requirements.</i></p> <p><b>1. Introduction</b></p> <p><i>The Introduction would define the country-specific purposes and objectives including a statement of the country's status and commitment in relation to the Stockholm Convention and other pertinent environmental conventions. It would also define the national policy and institutional context within which the NIP has been prepared, particularly its linkage to any applicable national environmental policy framework and/or national sustainable development strategy. Finally, it would describe the participants in the NIP preparation process and the assistance received to complete the NIP.</i></p> <p><b>2. Country Baseline</b></p> <p><i>This chapter would define the starting point for the NIP preparation process such that the overall national context in which the NIP is being undertaken is clear. It should describe the current situation and state of knowledge in relation to the POPs and what capacities and institutional basis are available to deal with the issue. Countries that have developed a UNITAR profile National or a UNDP Country Profile may use these as the starting point.</i></p> <p><b>2.1 Country Profile</b></p> <ul style="list-style-type: none"><li>2.1.1 Geography and Population</li><li>2.1.2 Political and Economic Profile</li><li>2.1.3 Profiles of Economic Sectors</li><li>2.1.4 Environmental Overview</li></ul> <p><i>In order to place the NIP strategies and action plans in a country-specific context a brief country profile would be elaborated. This would summarise information on geography and population, regional and sub-regional linkages, the political and economic profile, profiles of potentially important economic sectors in the context</i></p>
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*of the POPs issue and provide an overview of overall environmental conditions and priorities in the country.*

## 2.2 Institutional, Policy and Regulatory Framework

- 2.2.1 Environmental/Sustainable Development Policy and General Legislative Framework
- 2.2.2 Roles and Responsibilities of Ministries, Agencies and other governmental Institutions involved in POPs management and their respective Resource Allocation
- 2.2.3 International Commitments and Obligations
- 2.2.4 Existing Legislation and Regulations related POPs and addressing various stages of the life cycle Management, Contaminated Sites, Waste Water Discharge and Point Source Air Emissions
- 2.2.5 Key approaches and procedures for Chemical and Pesticide Management with relevance to POPs

*This section would describe the present overall institutional, policy and regulatory framework within which the NIP will be developed and implemented inclusive of national sustainable development strategies. It would also cover more detailed baseline information directly pertinent to the POPs issue such as status of action and implementation activities under related Conventions, and chemical and waste management regulation.*

## 2.3 Assessment of the POPs Issue

- 2.3.1 Inventory: POPs Pesticides (Annex A, Part I Chemicals)
- 2.3.2 Inventory: PCBs (Annex A, Part II Chemicals)
- 2.3.3 Inventory: DDT (Annex B Chemicals)
- 2.3.4 Inventory: Releases from Unintentional Production of PCDDs/PCDFs, HCB and PCBs (Annex C Chemicals)
- 2.3.5 Survey of Contaminated Sites
- 2.3.6 Forecast of Production, Use and Releases of POPs
- 2.3.7 Mitigation Capacity for POPs Management and POPs Release
- 2.3.8 Systems and Capacity for POPs Information access, use and exchanging relevance for reporting
- 2.3.9 Monitoring of Releases and Environmental and Human Health Impacts
- 2.3.10 Public Information and Awareness
- 2.3.11 Relevant Activities of Non-governmental stakeholders
- 2.3.12 Overview of technical infrastructure for POPs managements, research and development

*This section of the country baseline would provide the current technical and social knowledge base on the POPs issue in a country. It would do so in a systematic way addressing each of the POPs listed in the annexes of the Convention and the various subject areas addressed in the Convention articles, including inventory information on specific POPs, current technical management and monitoring capacity, potential impacts and the level of public awareness and concern.*

## **3. Strategy and Action Plan Elements of the National Implementation Plan**

*This section includes two overarching aspects of what a country should address, one involving the development of a formal policy statement and the other the implementation strategy for the NIP. This would be followed by a series of specific action plans or strategies responding directly to Convention requirements.*

### 3.1 Policy Statement

*This section would convey the government's commitment to addressing the POPs issue, the formal adoption or endorsement of the NIP as government policy and its intention to implement it. This would also, as appropriate, define the integration of the NIP within a country's overall institutional and regulatory system such that the response to the POPs issue and NIP implementation is mainstreamed and consistent with its national sustainable development strategy.*

### 3.2 Implementation Strategy

*This section covers the country's overall strategy for implementing the NIP once prepared and endorsed. It would provide a framework within which the detailed NIP activities could be undertaken in an integrated fashion. It includes elaboration on policy principles, priorities, the general approach, the overall organisational arrangements and how coordination across the detailed and issue-specific strategies and action plans will occur.*

### 3.3 Detailed Strategies and Action Plans

- 3.3.1 Action Plan: Institutional and Regulatory Strengthening Measures
- 3.3.2 Action Plan: Production, Use, Stockpiles and Wastes of Annex A POPs Pesticides (Annex A, Part I Chemicals)
- 3.3.3 Action Plan: Production, Use, Identification, Labelling, Removal, Storage and Disposal of PCBs and Equipment Containing PCBs (Annex A, Part II Chemicals)
- 3.3.4 Action Plan: Production, Use, Stockpiles and Wastes of DDT (Annex B Chemicals)
- 3.3.5 Action Plan: Releases from Unintentional Production of PCDDs/PCDFs, HCB and PCBs
- 3.3.6 Strategy: Releases from Stockpiles and Wastes: Pesticides, DDT, PCBs and HCB (Annex A, B and C Chemicals)
- 3.3.7 Action Plan: Identification, of Contaminated Sites (Annex A, B and C Chemicals)
- 3.3.8 Strategy for Information Exchange
- 3.3.9 Action Plan: Public Awareness
- 3.3.10 Action Plan: Monitoring
- 3.3.11 Action Plan: Reporting
- 3.3.12 Strategy for Research and Development

*This section would provide issue specific action plans and strategies that detail future measures to be undertaken to reduce and eliminate POPs releases and to specifically meet Convention obligations. The section will cover substance-specific measures as well those addressing such things as information exchange, public awareness, monitoring, reporting and research and development.*

### 3.4 Development and Capacity Building Proposals and Priorities

*This section is intended to provide a realistic and prioritised portfolio of future development programmes and capacity building initiatives that will be required to implement the NIP. In effect those initiatives should define what measures are reasonably required to meet a country's obligations under the Convention. The measures should be phased, consistent with national priorities, implementation capability, and availability of financial resources*

### 3.5 Timetable for Plan Implementation

*This section would propose a shorter and longer-term implementation schedule for the NIP linked to specific targets, milestones and performance indicators.*

### 3.6 Priority Resource Requirements

*The methods of financing and the timing of development and capacity building proposals linked to NIP milestones and deliverables would be presented consis-*

*tent with Article 13 of the Stockholm Convention. This would include the whole range of financial sources from investment by the private sector and industry generally in response to regulation, budget financing from various levels of government, and assistance from the GEF and other international assistance as may be applicable.*

#### **Annexes**

*The NIP could contain Annexes such as*

A1: Government and Key Stakeholder Endorsement Documents

A2: Record of Stakeholder and Public Consultation

A3: Representative Public Information Materials

## **7 The Process of Preparing a NIP**

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The following provides an overview of the process of organising the preparation of the NIP, including preliminary activities and considerations during the period leading up to a formal decision to embark on such a preparation. More detailed guidance on this is contained in Part B of the Guidance Document.

### **7.1 Process phases**

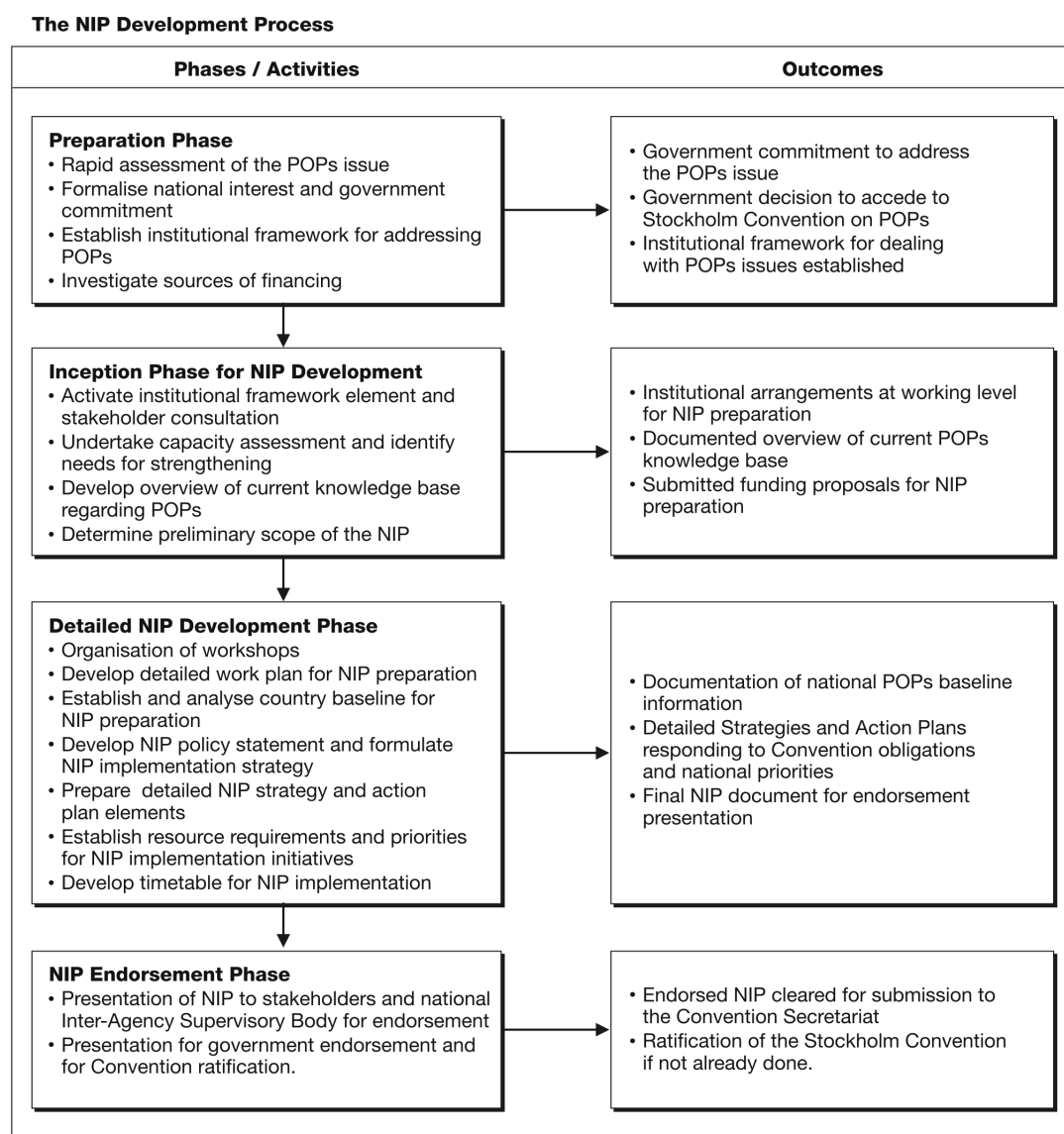
The NIP Preparation process can be divided into four phases as described and illustrated graphically below:

- The *Preparation Phase* covering the activities leading up to a formal decision by a national government to proceed with preparation of the NIP in order to determine the ways of complying with the Stockholm Convention. Its primary outcome is the government's basic commitment to investigate addressing the POPs issue in a formal way.
- The *Inception Phase for NIP development* initiates establishment of the working level institutional capacity and consultative mechanisms to undertake NIP preparation, confirms government commitment, defines an initial knowledge base on the issue and seeks funding (at national or international level as appropriate) for detailed NIP preparation. This phase comprises some activities envisaged under the first step of the GEF Initial guidelines as well preparatory activities that precede.
- The *Detailed NIP development phase* covers the core work on the NIP, first with preparation of the country baseline and subsequently the development of issue- and substance-specific strategies and action plans. Its primary outcome will be a final NIP document ready for presentation for formal endorsement. These activities cover steps 2 to 4 of GEF initial guidelines.
- The *NIP Endorsement phase* covers the process of obtaining final endorsement of stakeholders and the Government for the NIP and submission of the NIP in compliance with Article 7. Where the country has not ratified the Convention this would also include an indication of the country's formal decision. This activity covers step 5 of GEF Initial guidelines.



**Part B** of the Guidance Document provides a detailed checklist of activities and outcomes anticipated in each phase, as they may be applicable to a specific country's requirements and situation.

It should be noted that the four phases defined above encompass and are compatible with the “five steps” in the development of an NIP that are defined in the GEF” Initial Guidelines for Enabling Activities for the Stockholm Convention on Persistent Organic Pollutants” under which a number of developing countries and countries with economies in transitions have or are planning to initiate development of NIPs. This Guidance Document is consistent with and broadens the initial GEF guidelines. The graphic below identifies the main activities associated each phase, along with outcomes.



## 7.2 Organisational framework

Main organisational elements

The overall organisational framework for the NIP preparation process may typically have the following elements within the government structure itself:

- *A National Lead Agency*, which will often be a ministry or equivalent level authority responsible for a country's participation in the Stockholm Convention.

- A *National Inter-agency Coordinating Body* possibly in the form of a committee composed of representatives of relevant national authorities involved in chemicals management, including ministries of finance and customs as well as the national focal points for the Basel and Rotterdam Conventions. It could serve as a key mechanism for building consensus and commitment among government sectors in the preparation and implementation of the NIP.
- A *NIP Focal Unit* may be required to undertake the "day-to-day" administration and management of the NIP preparation process. It would provide administrative support to the Interagency Coordinating Body. Typically, but not necessarily, this unit could be within or associated with the responsible National Lead Agency.

#### Additional organisational elements

In addition, several other defined organisational elements that extend beyond the Government structure may be useful in the NIP preparation process:

- *Task Groups* would undertake specific technical assignments such as preparation of the country baseline or action plans. They would typically be composed of experts in relevant fields from within government, as well as non-governmental organisations including local academic institutions.
- *Multi-stakeholder Committee* is one means of soliciting input and advice from a range of external stakeholders. Such a Committee may also provide an opportunity to promote and facilitate public information, awareness and education in addressing POPs issues.

#### Scale of the NIP

The scale of the NIP and the associated level of effort and resources required for its preparation will vary from country to country. It is recommended that countries consider the following factors in an initial assessment of the work they will need to undertake.

- Size and economic level of the country;
- Pre-existing level of awareness of the POPs issue within government, and among stakeholders and the public;
- Scale of known POPs production, use, unintentional by-product releases and contamination;
- Level of response and remedial action already undertaken;
- Existing institutional capacity to deal with POPs, including number of government bodies involved in the issue;
- Existing physical infrastructure and other technical capacity to deal with POPs; and
- Relevant regulatory framework to support POPs action.

## **8 NIP evolution and updating**

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Article 7 of the Stockholm Convention requires parties to submit a national implementation plan to the Conference of the Parties within two years of becoming a Party and review the plan on a periodic basis. The Conference of Parties (COP) will determine the frequency and the manner of the review. The Annexes of the Convention are expected to expand over time as new POPs are identified and added. The NIP document should be therefore viewed as a dynamic and flexible instrument that will be subject to periodic updating and revision as necessary. It will need to be responsive to the dynamic nature of the Stockholm Convention including its potential to include additional POPs in the future.