



**UNITED NATIONS ENVIRONMENT PROGRAMME**  
**PROGRAMME DES NATIONS UNIES POUR L'ENVIRONNEMENT**



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**Subject:** Submission of Medium-Sized Projects

..... Please find attached three medium-sized proposals for consideration in accordance with the agreed expedite procedures:

1. **Promoting Compliance with the Trade and Licensing Provision of the Montreal Protocol in Countries with Economies in Transition, US\$ 693,750 (Medium-Sized proposal).**
2. **Global Biodiversity Forum (GBF): Phase II, US\$ 745,000 (Medium-Sized proposal).**

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3. **Development of Best Practices and Dissemination of Lessons Learned for Dealing with the Global Problem of Alien Species that Threaten Biological Diversity, US\$ 750,000 (Medium-Sized proposal).**

Best regards.

### Project Summary

1. Project name: <i>Promoting Compliance with the Trade and Licensing Provisions of the Montreal Protocol in Countries with Economies in Transition (CEITs).</i>	2. GEF Implementing Agency: <i>UNEP.</i>
3. Country or countries in which the project is being implemented: <i>Regional – 14 CEITs eligible under the GEF, including Azerbaijan, Belarus, Bulgaria, Czech Republic, Estonia, Hungary, Latvia, Lithuania, Poland, Russian Federation, Slovakia, Turkmenistan, Ukraine, and Uzbekistan.</i>	4. Country eligibility: <i>Non-Article 5(I) CEIT Countries under the Ozone Depletion Focal Area.</i>
5. GEF focal area(s): <i>Ozone Depletion.</i>	6. Operational program/Short-term measure: <i>Short-term measure to enable compliance with the trade and licensing provisions of the Montreal Protocol and phaseout of ODSs.</i>
7. Project linkage to national priorities, action plans, and programs: <i>The Project is linked with the 1997 decisions of the Meeting of the Parties of the Montreal Protocol on trade and licensing provisions to prevent illegal trade of ODS, and National Phaseout Action Plans identified in Country Programmes of CEIT Countries.</i>	
8. GEF national operational focal point and date of country endorsement: <i>Regional Project – see attached endorsement letters and list of Ozone Focal Points in CEITs.</i>	
9. Project rationale and objectives: <i>(a) To train officers in ODS monitoring and control, and establishment, operation and enforcement of licensing systems to enable compliance with the Montreal Protocol trade and licensing provisions and Decisions IX/8 and IX/9 of the September 1997 Meeting of the Parties.</i>	Indicators: <i>(a) Improved capacity, establishment of policies and systems as mandated by 1997 Decisions IX/8 and IX/9 of the Parties, and decreased incidence of illegal trade in ODSs.</i>
10. Project outcomes: <i>(a) Information and Expertise made available to all countries in the project; (b) National Ozone Focal Points, Industry and other Government Officials educated about establishing national import and export licensing systems to monitor and control ODSs; (c) Customs officials educated about operating and enforcing newly adopted national import and export regulations and policies completed; (d) National phaseout policies and strategies (including legislation, regulations, and economic instruments to comply with Decisions IX/8 and IX/9 of the Meeting of the Parties) designed and enforced; (e) Incidences of illegal trade in ODS from and to CEIT countries decreased.</i>	Indicators: <i>(a) Training Module and other information developed, translated and disseminated; (b) Regional Training Workshop on establishing national import and export licensing systems to monitor and control ODSs completed; (c) Regional Customs Training Workshop on operating and enforcing newly adopted national import and export regulations and policies completed; (d) Action Plan for establishing phaseout policies and strategies completed, and policies designed and enforced by each country; (d) Decreased incidence of illegal ODS trade from or to CEITs reported.</i>
11. Project activities to achieve outcomes	Indicators:

including cost of each activity in US\$): (a) Development of Training Module and information materials in 1998 (US\$158,250); (b) Comprehensive Regional Training Workshops in 1998 in ODS Monitoring and Control and Establishment of a Licensing System (US\$246,500); (c) Comprehensive Regional Training of Customs Officers in 1999 on implementing and enforcing new licensing regulations and policies (US\$246,500); (d) Follow-up with CEIT officers to ensure effective implementation and enforcement of established policies (US\$80,000).	(a) Training Curriculum and information materials developed, translated, and distributed; (b) Two Regional Training Workshops (one for each region) in ODS Monitoring and Control and Establishment of a Licensing System completed in 1998; (c) Two Regional Customs Training Workshops in implementing and enforcing new licensing regulations and policies completed by 1999; (d) Implementation and enforcement of established policies and regulations to enable compliance with the Montreal Protocol trade and licensing provisions.
12. Estimated budget (in US\$ or local currency):	
PDF: US\$0	
GEF: US\$693,750	
UNEP: US\$ 37,500	
TOTAL: US\$731,250	
13. Information on project proposer: 1) National Ozone Focal Points nominated by the Ministries in charge of ODS phaseout from CEITs and 2) UNEP, in cooperation with UNDP, and the World Bank.	
14. Information on proposed executing agency (if different from above): 1) National Government Ozone Focal Points and 2) UNEP.	
15. Date of initial submission of project concept: N/A	
16. Project identification number:	
17. Implementing Agency contact person: Mr. Rajendra Shende or Ms. Allison Morrill, UNEP IE, Telephone: 33-1-4437-1450.	
18. Project linkage to Implementing Agency program(s): Providing information and training on a regional basis. UNEP IE has considerable experience working with CEITs under the GEF ozone focal area. It has undertaken nine country programmes under the GEF and planned two intergovernmental meetings focusing on ratification of the Protocol and its Amendments by CEITs. This project has been identified as a need through these projects with CEITs. UNEP IE also has experience in coordinating the Regional Networks under the Multilateral Fund for the Implementation of the Montreal Protocol, for the last five years.	

## Project Rationale and Objectives

The Montreal Protocol on Substances that Deplete the Ozone Layer (1987) and its Amendments set phaseout schedules for the production and consumption of a number of ozone-depleting substances (ODS). Ratifying and subsequently complying with the Montreal Protocol and its Amendments has proven to be extremely difficult for Countries with Economies in Transition (CEITs) due to the economic and political transformations in their countries. The issue of non-compliance, and illegal trade in ODS from CEIT countries, is becoming a serious threat to the success of the Protocol.

This project is a regional initiative to assist CEITs to comply with the trade and licensing provisions of the Montreal Protocol and prevent illegal trade in ODSs, based on the identified need for such assistance. This initiative would consist of development and translation of a training module and other information and regional training on the establishment of import and export licensing systems for the monitoring and control of ODSs. The short-term objective is to enhance the capacity of the national ozone focal points to design and implement effective phaseout policies through training and regional cooperation among CEITs to decrease the incidence of illegal ODS trade. The long term objective is to promote and facilitate an early elimination of use of ODS and compliance with the trade and licensing provisions of the Montreal Protocol.

The proposed activity is consistent with the GEF Operational Strategy, which states that "GEF activities will be designed to support capacity building, human resource development and skills that are necessary to achieve global environmental objectives." It is also consistent with the Operational Strategy for the Ozone Depletion Focal Area, which will "support activities to phase out ozone depleting substances that are committed under the Montreal Protocol, with special emphasis on short-term commitments and enabling activities."

The project is also in line with the decisions of the Parties to the Montreal Protocol on establishment and operation of import and export licensing systems to combat illegal trade of ODSs. In September 1997, the Parties adopted Decision IX/8 on Licensing Systems and Decision IX/9 on regulating the export and import of products and technology relying on controlled substances in Annex A and B.

## Current Situation

The project covers the 14 Countries with Economies in Transition that are Parties to the Protocol and are non-article 5(1) countries. The economic and political transition in CEITs has resulted in severe difficulties in ratifying and subsequently complying with the Montreal Protocol and its Amendments. Obstacles include a lack of funding and institutional capacity in countries to undertake projects, inadequate information and training on the Montreal Protocol and technical alternatives, communication difficulties due to telecommunications and language barriers, and lack of familiarity with working within the international environmental system.

As noted in the Implementation Committee of the Montreal Protocol, many non-article 5(1) CEITs are in a state of non-compliance with the Protocol because they continue to consume ODSs after the phaseout date for developed countries of 1 January 1996 and they continue to conduct trade in ODSs with both Parties and non-Parties to the Protocol. Non-compliance with the Montreal Protocol by CEIT countries poses a serious problem, since the success of the Protocol depends on the political commitment of national governments, and the compliance by all countries with the Protocol control measures.

The issue of illegal trade in ODS from CEIT countries is becoming a serious threat to the success of the Protocol, as noted by the statements of Parties at the Ninth Meeting of the Parties in September 1997. Many representatives at the Ninth Meeting of the Parties "referred to the dangers of the illegal trade in CFCs which threatened to undo many of the achievements of the Protocol so far. Together with licensing systems, accurate and reliable data reporting was also essential to defeat the illegal trade."<sup>1</sup> Illegal trade is occurring because there are inadequate control systems and policies and lack of enforcement of these measures. The Parties thus agreed in September 1997 to Decision IX/8 on Licensing Systems that calls for each Party to establish an ODS import and export licensing system to control ODSs, and for funding to be provided to help countries develop, establish and operate such a system.

CEITs, therefore, require immediate assistance to establish import and export licensing systems and enforce these systems to monitor and control ODS. Several CEIT country officials in fact believe that they risk continued non-compliance beyond the year 2000 if phaseout actions are not coordinated through a regional initiative and if they do not receive the necessary information, support and training they require.

Another problem, which threatens the success of the Protocol, has to do with the transfer of environmentally outdated technology and equipment to developing countries and countries with economies in transition (CEITs). This is a concern because the CFC-using technology and equipment increases the continued dependence of countries on ODS and hinders Government efforts to promote the use of ozone-friendly equipment. Several countries brought this issue to the attention of the Parties to the Montreal Protocol. For example, Zambia reported that the "Ministry of Environment was concerned at reports that large quantities of second hand refrigerators were being imported from mainly European countries in a manner which can only be described as dumping of environmentally unfriendly technology."

In response the Parties adopted Decision IX/9 that calls on all parties to adopt legislative and administrative measures to regulate the export and import of products, equipment, components, and technology relying on controlled substances in Annex A and B. CEITs, therefore, will need to receive training to develop and enforce legislative and administrative measures to regulate the export and import of products containing ODSs.

The assessed consumption of Annex A, Group I and II and Annex B, Group I substances by the 14 CEITs totals 31,062 ODP tonnes (latest available data from 1995, see endnote #2). All of the fourteen countries have received funding to complete their country programmes. Eight of the fourteen to date have received limited institutional strengthening assistance and funding for investment projects, which play a key role in the ODS phaseout. But investment projects alone will not result in the ultimate phaseout of the more than 31,062 ODP tonnes ODS by these countries, if they are not coordinated and if training in policy development and enforcement is not conducted. To date, none of the countries have received funding for training in establishing, implementing or enforcing licensing systems for ODS Monitoring and Control.

#### **Expected Project Outcomes, with Underlying Assumptions and Context**

The project activities will be carried out over a period of two years to allow sufficient time for the project to be effective. At the end of the project, the following outputs are expected:

- Training Module and other information developed, translated and disseminated to all countries in the project;

- Regional Training of National Ozone Focal Points in establishing national import and export licensing systems to monitor and control ODSs completed;
- Regional Training of Customs officials in implementing and enforcing newly adopted national import and export regulations and policies completed.
- National phaseout policies and strategies (including legislation, regulations, and economic instruments to comply with Decisions IX/8 and IX/9 of the Meeting of the Parties) designed and enforced;
- Incidences of illegal trade in ODS from and to CEIT countries decreased;
- Already approved GEF investment projects implemented more effectively, through strengthening of policy instruments; and
- Data reporting and compliance with the Montreal Protocol on international level improved.

The project will provide the environmental benefits of allowing CEITs to come into compliance with the Montreal Protocol trade and licensing provisions because countries will be given a practical guide to establishing these systems, receive training, and be required to follow-up on implementation and enforcement of new policies and regulations. Without this support and training, it is doubtful that countries can come into compliance with the Montreal Protocol, and countries will develop a hodgepodge of policies that are not coordinated on the regional level. The project will also enable better implementation of already approved projects because of better understanding of key issues, improved data reporting, and assistance in establishing policy instruments to support ODS phaseout projects. The project, therefore, will result in the environmental benefit of an accelerated ODS phaseout and greater protection of the stratospheric ozone layer.

#### Activities and Financial Inputs Needed to Enable Changes

This activity will support a regional initiative for training and knowledge sharing on national policy setting between countries at different stages of implementation of the ODS phaseout. Project activities and training would be carried out in two groups, the Central and Eastern Europe and Baltic countries and the Former Soviet countries, as indicated in Table I. It is very important that the project include both countries that are well advanced in the ODS phaseout, such as Hungary and the Czech Republic, as well as those countries that are just beginning to write their country programme and undertake phaseout activities, such as Turkmenistan and Uzbekistan. This will allow for sharing of experiences and best practices, and information exchange to advance the ODS phaseout in all countries.

In order to achieve project objectives, the following activities will be implemented:

- Development of Training Module and informative materials in 1998, at a cost of US\$158,250, including staffing, subcontracts and project development. UNEP, in consultation with the National Ozone Focal Points of the region, will develop a comprehensive, practical training manual on establishing, implementing and monitoring an ODS licensing control system to control import and export of ODSs, and equipment and technology containing ODSs. The manual will be translated into Russian and distributed widely in the countries to ensure that can be used after the project has been completed. UNEP will also develop, translate and distribute other practical guides such as the establishment of policy instruments to achieve the ODS phaseout.
- Comprehensive Regional Training Workshops (one workshop for each region) in 1998 in ODS Monitoring and Control and Establishment of National Licensing Systems, at a cost of US\$246,500, including workshop costs, travel, subcontracts and staffing. The regional training

activity will focus on the steps in development of a licensing system to monitor ODS imports and exports to decrease illegal trade in ODSs and ODS-using equipment and technology. It will cover the following important topics: use of regulations, economic incentives and disincentives and public awareness mechanisms; controlling ODS supply and demand; defining objectives and defining total import and export quantities; designating authorities and determining responsibilities. At the end of the training, each country is expected to develop an action plan for establishment of such an import/export licensing system. The target audience of this workshop will be the ODS Focal Point and could include industry representatives or other government officials from the Ministries of Industry, Trade, Commerce and/or Foreign Affairs of each country which would be effected by policies.

Comprehensive Regional Training of Customs Officers (one workshop for each region) in 1999 on implementing and enforcing new licensing regulations and policies, at a cost of US\$246,500, including workshop costs, travel, subcontracts and staffing. Training will cover the following items: the need for licensing requirements and customs controls to stop illegal trade in ODSs; chemicals concerned and applicable customs codes; explanations of the newly adopted national import and export regulations and policies and their implementation and enforcement; and procedures to be followed. At the end of the training, each country will be able to implement their import and export system effectively and provide accurate data to the Ozone Secretariat of the Montreal Protocol. The target audience of this training is the ODS Focal Point and Customs Officials from each country.

- Follow-up with CEIT officers to ensure effective implementation and enforcement of established policies, at a cost of US\$80,000, including miscellaneous communication costs and monitoring and evaluation. This activity will focus on implementation, enforcement, and fine-tuning of the regulations and policies developed during the previous training workshops to ensure the effective ODS phaseout. It will allow for monitoring and evaluation to that the goals of the project are met. All CEITs will be requested to report on progress in establishing and implementing these measures to the UNEP Ozone Secretariat and the Implementation Committee of the Montreal Protocol.

Table I. Configuration of training activities by country, and their assessed 1995 consumption of CFC and Halon (ODP Tonnes).<sup>2</sup>

Central & Eastern Europe & Baltics		Former Soviet Union	
Country	Consumption	Country	Consumption
01. Bulgaria	338.4	09. Azerbaijan	960.5
02. Czech Republic	372.2	10. Belarus	611.5
03. Estonia	764.8	11. Russian Federation	22,075.6
04. Hungary	566.2	12. Turkmenistan	784.0
05. Latvia	694.8	13. Ukraine	746.6
06. Lithuania	360.5	14. Uzbekistan	649.9
07. Poland	1,756.0	1-2 Western European Countries	
08. Slovakia	380.9		
1-2 Western European Countries			
Sub-Total	5,233.8		25,828.1
Total Consumption		31,062 ODP Tonnes	



### **Sustainability Analysis and Risk Assessment**

The project follows from the successful work UNEP has completed with CEITs under the GEF ozone focal area, during which contacts were made and strong working relationships built up with Officers from Ministries of Environment of the region. The project has solid government support, in particular from the Ministries of Environment of CEIT countries. UNEP will be responsible for coordinating the Project, while the Ministries of Environment will provide the time and support of their Officers to participate in workshops and follow-up activities.

The project is a short-term measure to be conducted over a two-year period, and as such, is not meant to be sustained after that time. However, the CEIT Officers will have received the training manual in the English or Russian language and other ODS phaseout information, learned useful skills and put into place policy instruments and systems through the regional training activities. They will be able to use the training module in national workshop as needed and this will enable them to continue implementing the ODS phaseout effectively and will stem illegal trade in ODS after the project has been completed.

Project Risks could include failure to receive adequate government commitment, especially from governments that have not been active to date with the Montreal Protocol. Another risk could be the difficulty of communicating with these countries due to telecommunications problems and/or other obstacles. UNEP will utilize all available communication means, and build on the strong working relationships built with the National Ozone Officers during previous GEF activities (including preparation of Country Programmes and workshops with high-ranking officials) to ensure success. The project will seek to engage these high-ranking officials from CEITs so as to ensure the success of the project.

### **Stakeholder Involvement and Social Assessment**

Key stakeholders in the activity include the Ozone Focal Points from Ministries of Environment (or other Ministries with the responsibility for implementing the Montreal Protocol) from the 14 CEIT countries. UNEP and other Implementing Agencies under the Montreal Protocol, TEAP and OORG experts, and bilateral governments will also participate in the project to increase knowledge sharing and technology transfer.

UNEP IE has been working with the CEIT countries since 1994, and has held four regional meetings (two for high-ranking officials in 1996-97, with funding from a GEF PDF B grant for \$189,875). UNEP worked with the Danish Government (DEPA) to complete a comprehensive study of the needs of CEITs in accelerating the ODS Phaseout. UNEP IE has also held informal discussions with National Ozone Officers at Meetings of the Parties to the Montreal Protocol.

Through these many face-to-face meetings with CEIT officials, and through the findings of the UNEP/DEPA study, UNEP has conducted a social assessment of the ODS phaseout in CEIT countries. Findings highlighted serious barriers to ODS Phaseout in CEITs, which the Project will address.

### Incremental Cost Assessment

The proposed project activities fall within the category of complementary projects for the purposes of incremental costs. The project complements on-going national and regional environmental training activities in CEITs with a training programme related specifically to ODS monitoring and control. No change to the baseline is envisaged, since the baseline of the project is close to zero. In the absence of GEF funding, limited training activities will be undertaken -- these would exclude ODS trade control issues.

In accordance with the GEF Operational Strategy, the information and training activities in Country Programme preparation and implementation are classified as enabling activities, and therefore eligible for full cost financing by the GEF. This project assists CEITs in meeting their obligations under Decision IX/8 and IX/9 of the Meeting of the Parties of the Montreal Protocol, which require Parties to establish an ODS import and export licensing system to control ODS, and adopt legislative and administrative measures to regulate the export and import of products, equipment, components, and technology relying on controlled substances. It will therefore enable the CEITs to implement their Country Programmes effectively and comply with the mandates of the Decisions of the Parties above.

GEF financing is additional, since CEITs are not eligible for funding under the Multilateral Fund of the Montreal Protocol and no bilateral funding has been provided for such training activities. Cost sharing by the recipient countries will include the contribution of existing training facilities; as well as integration with on-going training programmes which otherwise would not have covered these ODS trade control issues. As part of the baseline, UNEP is contributing \$37,500 of its own resources to cover project development and personnel costs as co-financing.

### Budget

The budget for the project totals US\$731,250 for a two year period. This includes funding provided by UNEP of US\$37,500 for project development and personnel costs. The Funding requested from the GEF totals US\$693,750 and is composed of the following components: Subcontracts, which will be given for consultants to manage the project, for translation work and short term support for workshops, and international experts on monitoring and control of ODS; Training, which will cover the cost of organizing training activities; Travel, which will cover the costs of travel for regional CEIT and international experts, as appropriate; Evaluation, which will cover the costs of monitoring and evaluation of the project; and finally, Miscellaneous, which will cover the costs of reports and publications, telecommunications expenses, and other sundry items.

### Project Budget (US\$) for Two Year Period

Component	GEF	Other Sources	Funding by UNEP	Project Total
PDF (Project Development):	0	0	15,500	15,500
Personnel:	0	0	22,000	22,000
Subcontracts:	263,500	0	0	263,500
Training:	198,250	0	0	198,250
Travel:	152,000	0	0	152,000
Evaluation:	41,000	0	0	41,000
Miscellaneous:	39,000	0	0	39,000
Project total (PDF+Project)	693,750	0	37,500	731,250

costs):

**Project Implementation Plan**

One National Ozone Focal Point from each CEIT country will be assigned to the project, and will be involved with workshop preparation and providing input to the project. In addition, two to three developed countries (Germany, Netherlands, and the United Kingdom) will be invited to join the project, in order to exchange their experiences and expertise in designing and implementing ODS monitoring and control measures. Efforts will be made to the greatest extent possible to involve the local community where training workshops are held (rotating locations) to raise awareness of ozone depletion and the ODS phaseout.

The project will be executed by UNEP, under the overall guidance of the OzonAction Programme, which is supported under the Multilateral Fund for the Implementation of the Montreal Protocol. Consultants will be hired on short term contracts to develop and translate training manuals, organize training workshops and undertake follow-up actions.

ACTIVITIES	PROJECT-MONTHS			
	6	12	18	24
1. Development of Training Module and information	-----]			
2. Comprehensive Regional Training Workshops in ODS Monitoring and Control and Establishment of a Licensing System	-----]			
3. Comprehensive Regional Training of Customs Officers on implementing and enforcing new licensing regulations and policies	-----]			
4. Assistance in follow-up with CEIT officers to ensure effective implementation and enforcement of established policies	-----]			

**Public Involvement Plan****Stakeholder Identification**

Aside from the GEF, UNEP, and the other implementing agencies, the key stakeholders in the project are: 1) the representatives of governments of CEIT countries who must come into compliance with the provisions of the Montreal Protocol; 2) Representatives of developed countries participating in the Project; 3) Experts from TEAP and OORG; and 4) Representatives from leading NGO's.

**Information Dissemination and Consultation**

UNEP IE has held four regional meetings for CEIT's, completed a joint study with DEPA of the needs of CEITs in accelerating the ODS phaseout, and held informal discussions with National Ozone Officers of CEIT countries over the past two years to identify needs of CEIT countries in the ozone focal area.

The project allows for constant involvement from the National Ozone Focal Points in preparing and following up meetings. Participation of the local communities and NGO's where workshops are held will be allowed to a limited extent, in order to increase local awareness of ozone depletion and efforts to protect the ozone layer. Final reports will be prepared and distributed by UNEP after every training workshop.

#### *Stakeholder Participation*

Training workshops will not be held without the active involvement of key stakeholders.

#### *Social and Participation Issues*

Based on UNEP IE's work with CEITs in the ozone focal area, the anticipated social issues are: 1) skepticism/resentment of the international community over the perceived mistreatment of CEITs under the Montreal Protocol; and 2) cultural and political tensions and language differences between the diverse countries of the region. Social interaction and development of common regional strategies will help to alleviate these tensions, if they arise.

#### **Monitoring and Evaluation Plan**

Monitoring of the project will be undertaken by UNEP, in consultation with the National Ozone Focal Points. Data will be collected on key performance indicators including the status of development, implementation and enforcement of licensing and phaseout policies and strategies; incidences of illegal trade in ODS from or to CEITs; efficient implementation of already approved GEF investment projects; improvements in data reporting and compliance with the Montreal Protocol; and improved and increased awareness by National Ozone Focal Points of technical and policy information to assist them in the ODS phaseout.

The evaluation will also include a mid-term review; a description and analysis of stakeholder participation in the project design and implementation; and an explanation of how the monitoring and evaluation results will be used to adjust the implementation of the project, if required, and/or to replicate projects results throughout the region.

#### **Technical Review**

A technical review for this project is not required, since the GEF financing is not above the US\$750,000 threshold for medium-sized projects.

1. Report of the Ninth Meeting of the Parties to the Montreal Protocol on Substances that Deplete the Ozone Layer, UNEP/OzL.Pro.9/12, September 1997.
2. Data on CFC and Halon Consumption in 1995 in ODP Tonnes in CEIT Countries as reported by the Parties to the UNEP Ozone Secretariat, November 1997.