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Strategic Approach to International Chemicals Management

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Implementation towards the achievement of the 2020 goal of sound chemicals management: overall orientation and guidance on the 2020 goal

Integrated approach to financing the sound management of chemicals and waste: UNEP case studies on mainstreaming

Note by the secretariat

The secretariat has the honour to circulate, for the information of participants, a report by the United Nations Environment Programme on a series of case studies on mainstreaming that are linked to the implementation of the integrated approach to financing the sound management of chemicals and waste (see annex). The report is presented as received by the secretariat, without formal editing.

* SAICM/ICCM.4/1.

Annex

The integrated approach to financing of sound management of chemicals and wastes: UNEP case studies on mainstreaming

Introduction

1. A consultative process was launched by the Executive Director at the fourth meeting of the Conference of the Parties to the Stockholm Convention on Persistent Organic Pollutants, held in May 2009, with the aim of addressing the increased need for sustainable, predictable, adequate and accessible financing for the chemicals and wastes agenda while also increasing the political priority accorded to the sound management of chemicals and wastes.

2. The consultative process developed an integrated approach to financing of sound management of chemicals and wastes.

3. The first session of the United Nations Environment Assembly welcomed in its resolution 1/5 an integrated approach to address the financing of the sound management of chemicals and wastes, and underscores that the three components of an integrated approach, mainstreaming, industry involvement and dedicated external finance, are mutually reinforcing and are all important for the financing of the sound management of chemicals and waste at all levels.

Mainstreaming under the integrated approach for financing of chemicals and wastes

4. As chemicals and wastes management cuts across all economic development and natural resource sectors, including agriculture, health, environment, water, transport, industry, energy and mining, mainstreaming can leverage significant resources for the chemicals and wastes sector.

5. Furthermore owing to the potential environmental and health problems posed by some chemicals and wastes, mainstreaming will enhance the collective gains from effective management of chemicals and wastes, including poverty alleviation and sustainable development.

6. To ensure that mainstreaming becomes an effective component in meeting the chemicals and wastes targets, the integrated approach proposes the following non-exhaustive list of actions for implementation by Governments and other stakeholders as appropriate:

(a) Integrate chemicals and wastes into national development plans;

(b) Undertake analytical and diagnostic work to increase awareness of the benefits of the sound management of chemicals and wastes at all levels, including through the use of the Global Chemicals Outlook, a report being prepared by UNEP on the cost of inaction in respect of chemicals and wastes at the national level and existing partnerships between UNEP and the United Nations Development Programme on the subject of mainstreaming;

(c) Promote efforts to ensure, including through the use of the above-mentioned reports, country buy-in to the mainstreaming of chemicals and wastes priorities in national budgeting and planning processes;

(d) Integrate the sound management of chemicals and wastes, including by national administrations, into national budgets and sector and development plans for agriculture, health, environment, water, transport, industry, trade, energy, mining and other relevant sectors;

(e) Mobilize the environment and health constituencies, including civil society;

(f) Articulate chemicals and waste priorities in country assistance plans and strategies of multilateral and bilateral agencies, such as World Bank country partnership strategies and United Nations development assistance frameworks;

7. Incorporate chemicals and wastes considerations in plans and programmes for the strengthening and growth of economic and natural resource sectors in the context of green economy initiatives and sustainable development goals;

(a) Utilize international, regional and national development organizations, agencies and policy frameworks to promote the mainstreaming of chemicals and wastes into development planning processes;

(b) Enhance institutional and technical capacity for coordination, decision-making and monitoring;

(c) Streamline work aimed at catalysing cooperation and coordination at the regional and global levels through existing delivery mechanisms such as regional centres;

(d) Promote overall engagement, coordination and partnerships in respect of international financial institutions (such as Bretton Woods), regional development banks and other financial institutions.

8. By ratifying and becoming parties to the chemicals- and wastes-related conventions and participating in international policy frameworks on chemicals and wastes, States will be taking important steps to plan, implement, enforce and monitor the chemicals and wastes standards that are key to achieving the objective of mainstreaming the sound management of chemicals and wastes.

9. Overall, mainstreaming the sound management of chemicals and wastes into national development plans in developing countries and into the international development assistance priorities of developed countries will contribute to the reshaping of budgets, allowing for the possibility of national and international financing for the sound management of chemicals and wastes and thereby facilitating the achievement of the 2020 targets. The direct impact of mainstreaming will be the alignment of regulation, economic instruments and other policy instruments.

Summary of the existing experience with mainstreaming.

10. The analysis of the existing experience with mainstreaming were carried out through information from projects in 15 countries under the UNDP-UNEP Partnership Initiative on Integration of Sound Management of Chemicals into Development Planning Processes. [1] The analysis is available in Annex I to this document.

11. The country experience was summarized through the development of fact sheets for each country in order to provide a one-page overview for each of 15 country mainstreaming projects. The fact sheets provide data on:

(a) Project period

(b) National counterparts

(c) Project budget

(d) Main project objectives

(e) Prioritized chemically intensive sectors

(f) Project Outputs

(g) Project Outcomes/Results

(h) Contributions international partners

12. The information for the fact sheets was gathered through discussions with, and reviews of the files held by international experts who worked with the mainstreaming countries, reviews of applicable evaluation reports, and reviews of country project termination reports to the SAICM Secretariat.

13. Mainstreaming projects typically produce three major outputs:

(a) The National SMC Situation Report

(b) The National Action Plan on Chemicals

(c) A Cost-Benefit Analysis Demonstration Case Study on One Major SMC Priority.

14. Additionally, countries produced unique outputs, many of them involving significant efforts that were tailored to their needs. These are all itemized in the fact sheets.

15. Of course, a main concern for most interested observers is the actual outcomes/results of the mainstreaming projects. While these are also itemized in the fact sheets, Table 1 below aggregates the results under the following topics:

(a) Governance process results

[1] The review of the existing experience and the lessons learned was done Mr. Tom Conway and Ms. Hilda van der Veen. The review was made possible through a generous contributions from the Danish Government.

(b) Legal/institutional infrastructure results

(c) Development planning results

(d) Sector Strategies/policies results.

16. Table 1 demonstrates that many of the mainstreaming countries achieved notable results in all of these categories, while others were less successful. For this reason, the Lessons-Learned Paper was produced to help foster even greater levels of success for future mainstreaming initiatives.

Table 1
Summary Table of Project Results Drawn from Country Fact Sheets on SMC Mainstreaming Projects

Countries / Categories of Results	Governance Process Results	Legal/ Institutional Infrastructure Results	Development Planning Results	Sector Strategies/ Policies Results
1. Burkino Faso	Increased senior government awareness of high-risk areas for SMC and significant stakeholder engagement	Environmental Framework Law improved	PEI (phase 2) continue development of integrated roadmap to mainstream SMC in poverty reduction strategy	SMC issues in the health and environmental policy Evaluation of economic instruments to facilitate the integration of SMC in sectoral planning processes
2. Liberia	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	Interagency Coordination Mechanism (ICM) established	Environmental Sector Plan developed for the country's Poverty Reduction Strategy II (PRS II)	
3. Mauritania	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement			
4. Mauritius	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	Mauritius signed the Minamata Convention on Mercury on 10 October 2013 in part supported by project research Establishment of Mercury Focus Group	SMC issues incorporated into Maurice Ile Durable (MID), the long term vision for making Mauritius a sustainable island	Strengthened mechanisms to control entry of chemicals into the country – web-based portal for issuance of permits
5. Nigeria	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	ICM established	Project outcomes fed into planning for second implementation phase for Vision 2000-2020	
6. Uganda	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	ICM established Presentation to Cabinet on financing the SMC agenda in Uganda	SMC issues incorporated into the National Development Plan	Results of Economic Analysis of Actions Proposed for Strengthening the Governance of Chemicals Management for the Agriculture Sector adopted
7. Zambia	Increased senior government awareness of high-risk areas for SMC		Presentation to Cabinet on SMC needs for National Development Planning	

8. Viet Nam	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	ICM established NAP in final negotiations to be approved by PM as National Policy Framework for SMC	National policy frameworks must be accounted for in National Development Planning	Chemical Inventory and Database required in law advanced through economic planning study
9. Belize	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	ICM established Work on environmental legislation reforms launched Cabinet Paper produced on Belize's SMC situation and needs	SMC priorities incorporated into Medium-term Development Plan Longer-term development plan to 2030 includes additional SMC priorities	Comprehensive stakeholder database built
10. Ecuador	Increased senior government awareness of high-risk areas for SMC and significant stakeholder engagement ICM established			
11. Honduras	Increased senior government awareness of high-risk areas for SMC and significant stakeholder engagement	ICM established Decree on National Policy for SMC National Commission for SMC established	Text and priorities related to chemicals management were integrated into National Development Plan and planning instruments at all levels of government	SAICM Implementation Plan updated
12. Suriname	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	Action plan for development of national chemicals legislation Guidance on Interim Hazardous Waste Storage for Waste Managers adopted		National Action Plan on SMC formally adopted by the Ministry of the Environment
13. Kazakhstan	Increased senior government awareness of high-risk areas for SMC	Amendments to SMC regulatory framework, and Law "*On Chemical Production Safety*"	SMC issues integrated "*Amendments to the legislation of Kazakhstan for the transition to a green economy"*	
14. Kyrgyzstan	Increased senior government awareness of high-risk areas for SMC	Regulation on Interagency Coordination Committee (ICC) for the Establishment of a Cross-sectoral, Multi-Stakeholder Coordinating Mechanism approved in 2013 Registration of Potentially Toxic Chemicals revised Technical regulations on the Safe Handling of Pesticides were prepared with project support	SMC priorities reflected in the Mid-Term Development Programme for the Kyrgyz Republic	SMC priorities into sectoral development plans: 2012 – 2016 Health Strategy's Action Plan; the Strategy of Integrated Safety of Population & Territories in Emergency Situations (2020); the Energy Strategy; and the Agriculture Strategy/Plan

15. The former Yugoslav Republic of Macedonia	Increased senior government awareness of high-risk areas for SMC Substantial new stakeholder engagement	National Action Plan on Chemicals Management formally adopted by the government	National Sustainable Development Strategy adopted with sound management of chemicals chapter included	NAP stipulating incorporation of the latest EU trends in sound management of chemicals

Lessons-Learned

17. The Lessons-Learned was prepared from the practitioner's perspective; i.e. international experts who worked closely with the mainstreaming countries. The paper has three sections:

(a) Reminding the reader of the context for SMC mainstreaming

(b) Providing a refresher on the evolution of the SMC mainstreaming approach and methodology

(c) Identifying the most important lessons-learned to-date under the UNDP/UNEP PI.

18. With respect to item 3, "important" is defined as factors that had significant effects on the level of achievement of project outcomes/results (i.e. as opposed to outputs/deliverables) in two or more countries rather than less fundamental technical or administrative matters.

19. The checklists contained in the *UNDP Guide for Integrating the Sound Management of Chemicals into Development Planning* (3rd version) for each step in the mainstreaming methodology are used in the Lessons-Learned Paper. They provide structure for assessing and continually improving SMC mainstreaming implementation.

It is important to note that the Lessons-Learned does not conduct an evaluation of SMC mainstreaming projects. Independent evaluations were already completed as part of financial reporting obligations for all country projects. Additionally, there have been independent evaluations completed for key funding mechanisms that have supported mainstreaming projects, including bilateral funding and the Quick Start Program (QSP) of SAICM. These were all reviewed for preparation of the Lessons-Learned Paper.

20. The lessons learned were the following:

Key steps in project mobilization is a major predictor of project success

21. **Lesson-Learned no. 1 - High-level project buy-in is a major success factor for mainstreaming efforts** because of the cross-sectoral nature of the work and the ultimate objective to influence high-level development planning and policy documents that lead to representation around the budget table. As a general rule, national project buy-in should be formalized by those agencies directly involved in coordinating the national development planning process, while being championed by a partnership between ministries of environment, health and industry.

22. **Lesson-Learned no. 2 – Hire a strong Project Director with (high-level) connections outside the technical elements of one Ministry.** The right Project Director profile communicates a key message to stakeholders: that the project is being taken seriously at senior government levels rather than simply the technical units of one ministry. Strong project leadership also ensured that the project results had the attention of the Ministers, and that they were regularly briefed on project progress, and emerging policy recommendations, rather than being informed at (or near) project conclusion.

23. **Lesson-Learned no. 3 – Review the national development planning schedule and process early on in the project and plan the project accordingly.** A review document should be produced early in the project to decide when a mainstreaming project should produce its major deliverables to inform development of national development plans, economic policy documents or sector strategies. Development planning in most (though not all) developing countries is typically on a 4-5-year cycle, with a mid-term review to allow for adjustments to changing circumstances. If properly planned, mainstreaming projects can be coordinated with these major initiatives and should probably only be advanced when they are coordinated.

24. **Lesson-Learned no. 4 – Engage key stakeholders in chemically intensive economic sectors and ministries.** In about half of the mainstreaming countries there was a focused effort to expand the base of stakeholders to non-traditional participants, and when that occurred, projects had significantly better results.

25. **Lesson-Learned no. 5 – Ensure strong interagency coordination, preferably through the establishment of a formalized Interagency Coordinating Mechanism (ICM).** An ICM should include all ministries with significant responsibilities for aspects of chemicals management and add new, non-typical partners, such as central planning and finance.

The national SMC situation analysis must be a cross-sectoral and multidisciplinary effort

26. **Lesson-Learned no. 6 – Taking a Sectoral Approach leads to breaking out of the "environment silo" mentality.** Many countries opted to focus their sectoral studies on chemical intensive sectors such as agriculture, chemicals manufacturing, leather, textiles, mining, health and environment. Once the sectoral approach was taken, the countries almost uniformly saw that this "*different*" way of approaching the subject matter engaged them in issues, and inter-ministerial and stakeholder engagement that they had not previously experienced in more technical oriented environment sector projects. This was a steep learning curve for some environment ministry officials and proved an essential step for breaking-out of the silo mentality that environment ministries are often confined to in countries that are catching-up in policy, legal and institutional infrastructure for SMC.

27. **Lesson-Learned no. 7 – Economists and Health Experts to undertake economic analysis and health and environment studies were hard to find.** Constituting the core analytical team (senior economist, senior health expert and project coordinator) was a significant challenge in most countries. Projects encountered difficulties in finding national economic analysis consulting expertise, in particular in environmental economics. In many project countries environmental health programs were at a very early stage of development, and it was often challenging to identify health and environment experts. For these reasons, future mainstreaming efforts should invest more heavily in these areas.

28. **Lesson-Learned no. 8 – Establishing sector teams (incl. private sector representation) leads to better project buy-in and higher quality National Situation Reports.** The countries that established sector teams and encouraged active participation of sector ministry personnel uniformly did better than countries that did not do so. Their efforts greatly increased prospects for overcoming data hording problems in different ministries and improved acceptance of project results at the political and policy levels (i.e. because the sector teams developed ownership over sector reports, including identification of priority SMC needs in their sectors). Sector team coordinators also did a much better job of briefing management within their ministries along the way to reduce resistance to project recommendations that would otherwise be rooted in not knowing the history of the work.

Setting SMC priorities for actual implementation requires broad stakeholder engagement and ownership

29. **Lesson-Learned no. 9 – Engaging all project stakeholders throughout the project, leads to easy consensus on priorities to be addressed.** The countries that produced the best project results, engaged all stakeholders actively, including the private sector. Without solid consensus building on SMC gaps to be addressed, the prospects for a strong up-take of project results at the end of the project were substantially lessoned. However, typically, that consensus building was only possible when the project was based on high-level project buy-in, a strong ICM and building on the work of sector teams, all topics previously discussed.

30. **Lesson-Learned no. 10 – A National Action Plan will only be effective if it is "owned" by all stakeholders.** In most countries, the intent of this step was to develop a National Action Plan that included the highest SMC priorities that emerged out of the Situation Report. For the National Action Plan to be effective it should be for the use of all sectors that have a responsibility for sound management of chemicals. Thus ownership from early on in the project regarding chemical management priorities is absolutely essential.

Economic analysis is increasingly vital and yet there is a significant capacity challenge

31. **Lesson-Learned no. 11 – Economic analysis proved challenging – but with more guidance and examples becoming available – it became easier.** The economic analysis generally, and cost-benefit analysis demonstration studies specifically, were anticipated to be difficult. The country results in this step were highly uneven, primarily because of:

(a) The countries were working from a point of quite low capacity and/or experience in environmental economics, although there was some variation in this regard.

(b) Lack of environmental economics capacities led to recruitment time delays

(c) Initial assessment often had to be reviewed, corrected and improved multiple times.

(d) Data availability was a significant problem in most countries, and economic analysis often required creative estimation and extrapolation beyond existing skills.

(e) Limited experience and guidance at international level on practical and broadly accepted approaches regarding accounting for the costs of inaction/benefits of action on SMC.

To address challenge no. 5, the Supplemental Economic Analysis Guide was produced by UNEP. As work progressed with more countries joining the mainstreaming initiative, practical economic analysis examples began to be shared and the work overall improved. However, more work remains to be done.

Budgeting action plans is a critical step to bring focus to priorities and their challenges

32. **Lesson-Learned no. 12 – Developing and budgeting for a National Action Plan helps turn ideas into concrete activities and actions.** The countries that were most successful put substantial effort into a National Action Plan for Chemicals Management that forced them to think concretely on what should be done, when and at what scale. By emphasizing the need to budget the National Action Plan for a 5-year period, countries also needed to concentrate on clear policy instrument options. When that was done, many of the apprehensions about what to do were moved aside and stakeholders began discussing practical ways forward.

Annex I

1.0 Introduction

This paper provides a discussion of lessons learned under the UNDP/UNEP Partnership Initiative on Integration of Sound Management of Chemicals into Development Planning Processes (UNDP/UNEP PI; SMC mainstreaming). The emphasis is on identifying areas for improvement in implementation of the mainstreaming approach for future country efforts seen from the perspective of international experts who have worked with the 16 countries that have to-date undertaken SMC mainstreaming projects with the technical support of the UNDP-UNEP PI.

Throughout this paper the term "mainstreaming" is used to signify the integration of priorities for SMC into a country's development plans, but also into sector strategies, local level implementation and significant government development programmes.

The overall aim of mainstreaming is to establish enduring institutional processes within government ministries and the wider stakeholder community to implement SMC on an ongoing basis. It also involves looking at potential chemical risks arising from implementing sector development strategies, and trying to mitigate such risks at the planning stage, including within national development planning processes (i.e. rarely can all risks be entirely prevented). Integrating SMC priorities into development planning helps governments foster national budget commitments as well as bilateral donor assistance to help close the gap on SMC capacities between developed and developing economies.

It is important to note at the outset that this paper does not conduct an evaluation of SMC mainstreaming projects. Independent evaluations have already been completed as part of financial reporting obligations for all country projects. Additionally, there have been independent evaluations completed for key funding mechanisms that have supported mainstreaming projects, including bilateral funding and the Quick Start Program (QSP) of the Strategic Approach to International Chemicals Management (SAICM).

The implementation lessons-learned identified in this paper are discussed anonymously with indicative references to fractions of the 15 SMC mainstreaming countries that experienced the identified strengths and weaknesses of the mainstreaming projects conducted to-date (i.e. to give the reader an indication of the significance of the issue). The more country specific evaluation studies, and financial mechanism studies, can be requested from the SAICM Secretariat.

Finally, no attempt is made in this paper to revise the UNDP-UNEP PI mainstreaming guidance documents, discussed in Section 3.2.[2] The SMC mainstreaming approach has already been widely consulted, has been applied in 16 countries to-date, has been considered in several independent evaluations, and has been found appropriate to the needs of self-nominating mainstreaming countries. As this paper will demonstrate, areas of improvement in SMC mainstreaming are more appropriately focused on the project mobilization step and other discrete areas of the mainstreaming guidance.

This paper has 3 sections:

1. Overview of the context for SMC mainstreaming
2. Refresher on the evolution of the SMC mainstreaming approach and methodology
3. A discussion of lessons-learned to-date under the UNDP/UNEP PI organized by steps and performance criteria in the mainstreaming methodology.

[2] Background and guidance documents can be found on the UNDP Energy and Environment Group and UNEP Chemicals Web Pages:

- http://www.undp.org/chemicals/mainstreamingsmc.htm
- http://www.chem.unep.ch/unepsaicm/mainstreaming/About_Activities.htm

2.0 SMC Mainstreaming Rationale

2.1 UNDP/UNEP PI Objective

The UNDP/UNEP PI was developed in context of SAICM to increase awareness of and capacities for mainstreaming SMC priorities into national development plans and policies for as many self-nominating developing countries and countries with economies in transition (CEITs) as possible.

Box 1: National Development Planning

National development planning is a very important priority setting and coordination effort for many developing countries and countries with economies in transition (CEITs) around the world. This effort is usually led by a central agency, such as the Ministry of Finance and/or Development Planning, a National Planning Commission, a Prime Minister or President's Office, etc. It is a key (but, of course, not exclusive) driver for national budgetary decisions and expenditures, and is the main basis for discussions with development partners (donor countries) regarding technical and financial assistance for the development of the country. The end result of the development planning process can, depending on the country circumstances, culminate in different forms of authoritative development planning and policy documents including, for example, Poverty Reduction Strategic Papers (PRSPs), National Development Plans (NDP), MDG- Based Development Plans, sector development strategies, etc. Typically, national development planning occurs on a 4-5 year cycle in most countries.

The adoption of SAICM at the International Conference of Chemicals Management (ICCM) held in Dubai, February 4-6, 2006 provided a global framework for countries and organizations aiming to achieve the WSSD goal of sound chemicals management by 2020.[3] SAICM is the first internationally agreed mechanism, albeit non-legally binding, that attempts to strengthen chemicals management across the whole of government, broadly applicable to the over 300,000 regulated chemicals that currently exist in the world today, and the thousands of new chemicals proposed for market access each and every day.[4]

SAICM's approach to overall SMC governance led to a strong international consensus on the need to improve:

1. Interministerial and public stakeholder awareness of SMC issues for sustainable development in all countries
2. Relationships between environment and health ministries on SMC as advocates for improved SMC at the national level
3. Approaches for building consensus with relatively more powerful economic development-oriented ministries (e.g. industry, natural resources) on priority actions for SMC
4. Fact-based evidence on the socio-economic, in addition to environmental health benefits of SMC for sustainable development
5. Finance for SMC on a programmatic basis by contrast with over-dependence on episodic project funding.

In this context, the SMC mainstreaming approach emerged as a key issue for SAICM. Mainstreaming attempts to address all these needs in an integrated manner and, as such, is applicable to SAICM and virtually all other SMC policy venues.

2.2 The Post-2015 Development Agenda

There is by now no doubt that national resource mobilization (i.e. consistent with the SMC mainstreaming objective) will figure prominently in proposals for financing the post-2015 development agenda, of which funding for SMC will form a part. The current direction of the global partnership for development has been setout in the:

- 2000 Declaration of the Millennium Summit of the United Nations,
- 2002 Monterrey Consensus of the International Conference on Financing for Development,

[3] SAICM adopted the goal on chemicals management agreed in 2002 at the World Summit on Sustainable Development (WSSD) held in Johannesburg, South Africa.

[4] According to CAS of the American Chemical Association, CHEMLIST® (Regulated Chemicals Listing), an electronic collection of thousands of chemical substances that are regulated in key markets across the globe, contains more than 312,000 substances.

- 2002 Johannesburg Plan of Implementation on Sustainable Development
- 2005 Paris Declaration
- 2008 Doha Declaration on Financing for Development
- 2012 United Nations Conference on Sustainable Development.

Each of these agreements has paced considerable emphasis on domestic resource mobilization. A transformative post-2015 agenda for Sustainable Development Goals (SDGs) has continued this trend lending greater importance to mainstreaming technical support.

The draft SDGs can be seen in Box 2.[5] Italics are added for goals that have strong relevance for SMC.

[5] See, *The road to dignity by 2030: ending poverty, transforming all lives and protecting the planet:, Synthesis report of the Secretary-General on the post-2015 sustainable development agenda*, 4 December 2014. http://www.un.org/ga/search/view_doc.asp?symbol=A/69/700&Lang=E

Box 2: Draft Sustainable Development Goals

Goal 1. End poverty in all its forms everywhere

Goal 2. End hunger, achieve food security and improved nutrition and promote sustainable agriculture

Goal 3. Ensure healthy lives and promote well-being for all at all ages

Goal 4. Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all

Goal 5. Achieve gender equality and empower all women and girls

Goal 6. Ensure availability and sustainable management of water and sanitation for all

Goal 7. Ensure access to affordable, reliable, sustainable and modern energy for all

Goal 8. Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

Goal 9. Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation

Goal 10. Reduce inequality within and among countries

Goal 11. Make cities and human settlements inclusive, safe, resilient and sustainable

Goal 12. Ensure sustainable consumption and production patterns

Goal 13. Take urgent action to combat climate change and its impacts*

Goal 14. Conserve and sustainably use the oceans, seas and marine resources for sustainable development

Goal 15. Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss

Goal 16. Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build effective, accountable and inclusive institutions at all levels

Goal 17. Strengthen the means of implementation and revitalize the global partnership for sustainable development

* Acknowledging that the United Nations Framework Convention on Climate Change is the primary international, intergovernmental forum for negotiating the global response to climate change.

3.0 Development of the UNDP/UNEP PI

The SAICM Quick Start Program (QSP) identified mainstreaming as one of its three priority enabling activities. The time-limited QSP funds, and targeted bilateral assistance in support of SAICM, were critical for building SMC mainstreaming knowledge and experience.

3.1 Facts Refresher on Evolution of the UNDP/UNEP PI

- The UNDP-UNEP Partnership Initiative for the Integration of the Sound Management of Chemicals (SMC) into Development Planning Processes[6,] was established soon after the First Meeting of the International Conference on Chemicals Management (ICCM 1) established under SAICM

[6] Background and guidance documents can be found on the UNDP Energy and Environment Group and UNEP Chemicals Web Pages:

- http://www.undp.org/chemicals/mainstreamingsmc.htm
- http://www.chem.unep.ch/unepsaicm/mainstreaming/About_Activities.htm

A first draft of the UNDP Guidance on Mainstreaming was prepared by UNDP supported by Norway in early 2007[7]

- Sweden funded two pilot countries, Zambia and Cambodia, through UNDP to facilitate the launching of the UNDP-UNEP PI and to test the guidance
- Four regional awareness raising and consultation workshops on mainstreaming were held, coordinated by UNEP Chemicals and generously funded by Norway, involving participants from 22 countries:[8]
    - *Kampala, Uganda, September 9-11 2008* for six countries in the Sub-Saharan African Region, Malawi, Mali, Mauritania, Rwanda, Uganda and Zambia
    - *Phnom Penh, Cambodia, December 10 -12, 2008* for six countries from the Asia-Pacific, Bhutan, Cambodia, Laos, Maldives, Malaysia, and Vietnam
    - *Ohrid, Macedonia, February, 25-27, 2009* for six countries selected from two regions, Albania, Belarus, Kazakhstan, Kyrgyzstan, Macedonia and Serbia
    - *Belize City, Belize, March 18-20, 2009* for four countries from the Latin America and Caribbean region, Belize, Chile, Ecuador and Honduras

The consultation brought development planning and finance officials to the table to discuss SMC in ways not before experienced within the countries. Country participants concluded on the types of assistance required for mainstreaming. A summary of the conclusions from the consultations can be seen in Box 3.

- In 2009, in response to consultations, UNEP Chemicals, supported by Norway, developed the Supplemental Cost-Benefit Economic Analysis Guide as a companion document for the UNDP Guidance on Mainstreaming[9]
- QSP proposals under the UNDP-UNEP PI were accepted for Belize, Burkina Faso, Ecuador, Honduras, Kazakhstan, Liberia, FYR Macedonia, Mauritania, Mauritius, Moldova, Nigeria, Suriname, Uganda, and Viet Nam (listed alphabetically rather than by date of project).
- These countries have been champions to assist with refining the mainstreaming methodology while also achieving many of their project objectives
- Practical experience and consultations led to further refinements of the UNDP Guidance and a new version was issued for comment at ICCM2
- A third version of the UNDP Guidance has since been produced by UNDP in 2013
- UNEP produced the *Global Chemicals Outlook: Towards Sound Management of Chemicals*[10] and *Costs of Inaction on the Sound Management of Chemicals* in 2013 with one major objective to support the rationale for mainstreaming in all countries.[11]

[8] See SAICM/ICCM.2/INF/46. UNDP-UNEP PI. 2009. Views of developing countries and countries with economies in transition on the issue of mainstreaming sound management of chemicals priorities into developing planning processes, http://www.saicm.org/index.php?content=meeting&mid=42&def=2&menuid=9 .

[9] ***UNDP*** Environment and Energy Group. 2009. *UNDP Technical Guide for Integrating the Sound Management of Chemicals in MDG-Based Policies and Plans*, http://www.undp.org/chemicals/mainstreamingsmc.htm; UNDP-UNEP Poverty-Environment Initiative. 2009. *UNEP Chemicals 2009. Supplemental Cost-Benefit Economic Analysis Guide, http://www.chem.unep.ch/unepsaicm/mainstreaming/UNDPPartnership.htm*

[10] UNEP Chemicals, 2013. GCO: Global Chemicals Outlook, Towards Sound Management of Chemicals, Synthesis Report for Decision Makers. *http://www.unep.org/chemicalsandwaste/UNEPsWork/Mainstreaming/GlobalChemicalsOutlook/tabid/56356/Default.aspx*

[11] UNEP Chemicals, 2013. *Costs of Inaction on the Sound Management of Chemicals.* http://www.unep.org/chemicalsandwaste/UNEPsWork/Mainstreaming/CostsofInactionInitiative/tabid/56397/Default.aspx

Box 3: Needs Identified for Mainstreaming By Participating Countries

- Our countries need capacity building in understanding development planning processes, linking SMC priorities to the development plan, and economic analysis to support our arguments
- Guidance/tools on doing this type of work (i.e. the UNDP Guidance on Mainstreaming) are very helpful
- We need training on the process and language of the development planner and finance ministry
- Capacity building for making the clear case for societal costing of SMC problems is absolutely critical
- There is a need for networking between different countries for experiences with respect to mainstreaming of SMC
- We need practical case study examples on how costs and benefits analysis is done and can be used to influence the development planning process
- We need to have ways to tie SMC issues to trade issues also; that can be a very powerful incentive for action
- We need financial support from international donors to implement mainstreaming efforts until our internal capacity is built-up

3.2 Summary of the Mainstreaming Approach and Methodology

Guidance for the mainstreaming approach is contained in two documents developed by UNDP and UNEP respectively (both sponsored by Norway), the *UNDP Guide for Integrating the Sound Management of Chemicals in MDG-Based Policies and Plans*, and the UNEP *Supplemental Cost-Benefit Economic Analysis Guide*[12].

Figure 1 portrays how the partners work together to advance SMC mainstreaming.

[12] UNDP Environment and Energy Group. 2009. UNDP Technical Guide for Integrating the Sound Management of Chemicals in MDG-Based Policies and Plans, http://www.undp.org/chemicals/mainstreamingsmc.htm; UNDP-UNEP Poverty-Environment Initiative. 2009. UNEP Chemicals 2009. Supplemental Cost-Benefit Economic Analysis Guide, http://www.chem.unep.ch/unepsaicm/mainstreaming/UNDPPartnership.htm

Figure 1
Relationships, Roles and Responsibilities in the UNDP-UNEP PI Programmatic Approach

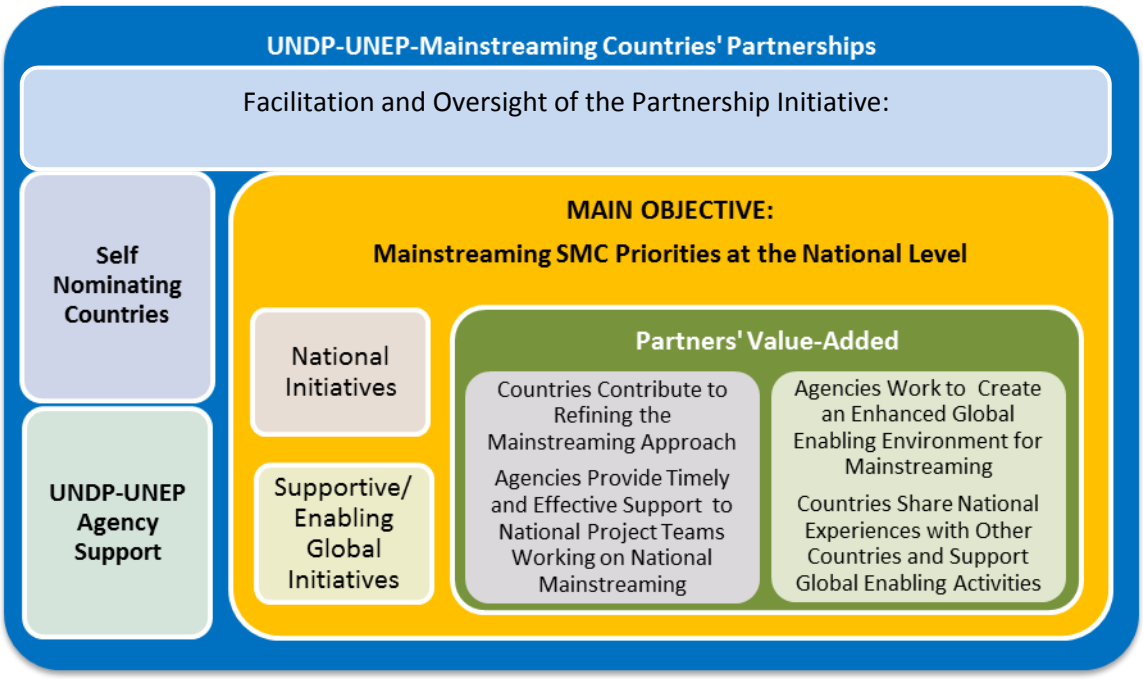
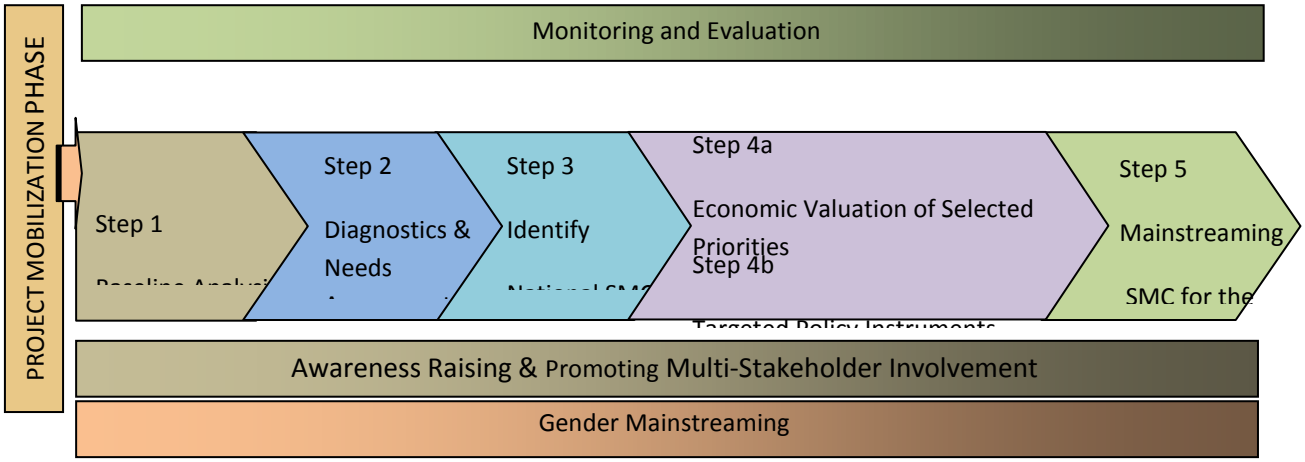


Figure 2 portrays the 5 main steps in the mainstreaming approach. The steps are preceded by a Project Mobilization Phase, which includes critical elements to prepare for a successful mainstreaming effort.

Figure 2
Overview of the Mainstreaming Approach



Stakeholder Consultation & Awareness Raising, Monitoring & Evaluation and Gender Mainstreaming are elements of the mainstreaming approach and are applied throughout all five steps.

For purposes of keeping the mainstreaming guidance documents concise, participating governments are referred to existing UNDP guidance on Monitoring & Evaluation and Gender Mainstreaming.[13] Similarly, Step 1 – Baseline Analysis avoids duplicating efforts with existing SMC technical guidance documents issued by many different organizations and available to the reader over the internet.[14]

UNEP's *Supplemental Cost-Benefit Economic Analysis Guide* applies to Step 4a in the methodology. Capacities for economic analysis are vitally important to support integration of national SMC priorities into national development plans and policies. This includes a better understanding of how to:

[13] UNDP. 2007. Chemicals Management: The why and how of mainstreaming gender in chemicals management, and UNDP, Evaluation Office. 2002. Handbook on Monitoring and Evaluating for Results.
[14] See IOMC. 2006. National Implementation of SAICM: A Guide to Resource, Guidance, and Training Materials of IOMC Participating Organisations. http://www.who.int/iomc/saicm/resource_guide.pdf

- Assess the costs to human health and the environment of inaction on SMC (i.e. present and future risk);
- Analyze the costs and benefits of significant investments to improve SMC; and
- Communicate these results to finance and planning agencies in an economic language that these agencies can understand, the staff of which will generally not be chemicals experts.

The supplemental guidance has generally suited the circumstances of developing countries and CEITs where lack of experience in environmental economics and data limitations often discourage economic quantification and analysis to support public policy decision making. However, an expansion of that guidance with additional examples for all countries to learn from is an action that could be of significant benefit.

4.0 Lessons Learned

4.1 Method and Provisos

The checklists contained in the *UNDP Guide for Integrating the Sound Management of Chemicals into Development Planning* (3rd version) for each step in the mainstreaming methodology are used in this discussion. They provide structure for assessing and continually improving SMC mainstreaming implementation.

It is important to recall that the first countries to self-nominate for the UNDP-UNEP PI helped significantly to refine the mainstreaming approach. For this reason, some of the projects were completed under earlier versions of the UNDP Mainstreaming Guide, which were not as well developed as the 3rd and final version to-date. This should be kept in mind when various sub-steps set out in the newest most advanced Mainstreaming Guide were, through post hoc assessment, not followed in all cases.

The newness of SMC mainstreaming for most countries should also not be overlooked including:

(a) Identifying sound management of chemicals priorities in context of the country's development priorities instead of from an environmental technical perspective exclusively

(b) Enhancing the economic content of policy recommendations

(c) Engaging new stakeholders in ways that they have never been engaged before, including in economic development sectors, finance and development planning.

These were unfamiliar expectations to apply to government officials who were accustomed to implementing the discrete technical projects that predominated donor funded SMC projects prior to the arrival of SAICM. The learning curve for the early adopter countries was very steep and that fact needs to be given substantial weight in any assessment of lessons-learned. The intent of continued mainstreaming efforts is, of course, to bend that curve and make SMC a more commonly addressed priority at the center of government.

Moreover, because these were new type of projects, the administrative processes took unusually long as a proportion of overall project duration (varying from signing the MOU between the Agencies, transfer of funds and hiring of consultants), and as a result the projects experienced significant delays and sometimes had to be shortened or were temporarily put on hold. These problems were, as would be expected, more easily overcome in countries that gave appropriate priority to the projects, an issue discussed more fully in Section 4.2 below.

4.2 Project Mobilization Phase

Table 2
Checklist for the Project Mobilization Phase

PM (i) – High level project buy-in	*PM (vi)* – Finalize project communication package
PM (ii) – Appoint project director	*PM (vii)* – Compile list of key stakeholders
PM (iii) – Review national development planning schedule and process	*PM (viii)* - Institute Interagency Coordinating Mechanism (ICM)
PM (iv) – Appoint project coordinator	*PM (ix)* – Multistakeholder Project Inception Workshop
PM (v) – Agree on work plan and anticipated schedule	

This indicator is typically measured by:

1. Letters of support for the project from the SAICM focal point;
2. Formal communications of support from key ministries responsible for aspects of chemicals management; and,
3. Formal communications of support from central government ministries or offices with key roles in development planning and finance.

High-level project buy-in is a critical aspect of mainstreaming efforts because of the cross-sectoral nature of the work and the ultimate objective to influence high-level development planning and policy documents that lead to representation around the budget table. As a general rule, national project buy-in should be formalized at the center of government (i.e. those agencies directly involved in coordinating national development planning), while being championed by a partnership of environment, health and industry ministries.

Without high-level buy-in, a mainstreaming project can take some considerable time to establish the basis for success when left to the devices of the assembled project team. Instead of working on substantive content, the project can be stalled, or even seriously limited throughout, by low government-wide participation rates.

This problem of needing to repeatedly cajole participation during the project emerged in at least half of the mainstreaming countries to-date. A major source of the problem is not fully communicating to all stakeholders that while mainstreaming projects must deal with the technical content of the subject matter, their main value is in enhancing SMC policy profile and rationales within government, including economic implications analyses and sectoral sustainable development justifications.

The mainstreaming countries that did especially good work (i.e. the top 3rd of the countries) had especially strong support for project delivery at the center of government and strong ministries or agencies directly involved and claiming ownership of project outcomes. The countries that did less well had trouble busting out of the relatively marginalized technical profile of an environment or health ministry.

In retrospect, it would have helped if UNDP Country Offices (COs), UNEP and UNDP Regional Technical Advisors (RTAs) had emphasized that the project did not have to be implemented necessarily by the unit that had the SAICM (or another chemicals agreement) Focal Point. The tendency was for UNDP COs and RTAs to apply their standard POPs/chemicals implementation approach, working with the same technical level officials and stakeholders they had always worked with in the past.

The fact that initial support for mainstreaming was provided centrally by UNDP, and was later decentralized (without making the RTAs really enthusiastic about these projects), also meant that central units (UNEP Chemicals and UNDP HQ) had much less influence on how these projects were being implemented. The International Consultants (key to the projects) were also brought on-board late, allowing for much less influence. As such they couldn't provide timely advise on better structures to be setup at the start of the project, which would have been more beneficial for project implementation. When the mainstreaming projects were handed over to the regions, no real "training/awareness raising" was done to help RTA and COs understand what "mainstreaming" entailed and how these projects could be implemented.

In the future, it would be advisable to have:

(a) A centralized oversight and coordination function at UNEP or UNDP should be renewed to foster consistency across projects (i.e. subject to national distinctness), transference of country experience, and higher-level prominence to the projects

(b) RTA/COs receiving sufficient awareness raising beforehand

(c) International consultants with experience in mainstreaming and chemicals (i.e. the mainstreaming experience could have been in a different file, as long as chemical expertise is also present) should be brought-on board prior to project initiation.

4.2.2 PM (ii) – Appoint Project Director

For project success, the Project Director should be:

1. Appointed early in the project, and certainly prior to the Project Inception Workshop planning;
2. Have management responsibilities for SMC issues;

3. Not be too busy to adequately perform the role as part of his or her overall job; and

4. Be senior or experienced enough to facilitate required access within the national government's systems and to problem-solve within the lead ministry, and with other involved ministries and project stakeholders.

The mainstreaming projects that did well had a strong Project Director with connections outside the technical elements of one ministry. They were also people not needing to be periodically briefed on project progress, but rather were directly involved in project implementation oversight. The projects that fell short of fully meeting all their objectives, often neglected the profile and commitment of the Project Director. The projects that did very well, universally had a very effective Project Director, measured by the characteristics noted above.

The right profile for the Project Director also communicated a key message to stakeholders: that the project was a serious matter and is being taken seriously at the senior levels of government rather than simply the technical units of one ministry. When that happens, many common, interministerial problems with development assistance projects can be swept away and the project can focus on results. Strong leadership also ensured that the project results had the attention of the Ministers of lead departments. This meant that the Ministers were regularly briefed on project progress, and emerging policy recommendations, rather than having to be informed at project conclusion or near conclusion.

Access to the ministerial level is critical for mainstreaming projects since, as previously mentioned, they are largely transformative policy projects with technical dimensions rather than typical SMC technical projects that attempt, and too often have failed, to access and influence the policy domain at the centre of government, and thus, ultimately, curtailing an adequate voice at the development planning and budget table.

4.2.3 PM (iii) – Review national development planning schedule and process

A review document should be produced early in the decision-making process to inform when a mainstreaming project should produce its major deliverables to inform development of national development plans, economic policy documents or sector strategies. This is not exclusively a technical issue, but rather a strategic policy matter. If key project deliverables are radically out of alignment with the development planning, economic policy or sector strategy development cycle, than project momentum is usually lost or the project deliverables need to be re-energized at a later date, increasing the risk of project shortfalls. The review document is also not a static document, but should be revisited systematically throughout the mainstreaming project to ensure that it accounts in a timely manner for any changes in the decision-making processes that the project is attempting to influence.

This problem was an issue in at least half of the mainstreaming countries. The cause of this problem is in large part rooted in continuing to see these projects like traditional technical environment sector projects; projects that could be run largely in isolation from major policy decision processes by technical personnel in one or more ministries. However, mainstreaming projects make the most sense in context of the development planning or major sectoral economic planning processes of the country.

Two questions are applicable in this regard:

- How long will the mainstreaming project take to complete? This will vary considerably based on complexity and scope of different issues
- Where and when are the key points that an important planning or policy-making process can be influenced? This requires deliberate assessment of a process to determine the best and most timely entrance points for the information and knowledge that a mainstreaming project can provide.

If these two questions are carefully considered, the national lead of the mainstreaming project can undertake to have the analysis completed and promoted with management and other authorities in advance of influential points in the decision making process.

4.2.3.1 Typical Development Planning Process

Development planning in most (though not all) developing countries is typically on a 4-5-year cycle, with a mid-term review to allow for adjustments to changing circumstances. *If properly planned, mainstreaming projects can readily be coordinated with these major initiatives and should probably only be* advanced *when they are coordinated with these initiatives or other major economic strategy initiatives.*

With respect to development planning specifically, timeliness is critical to not missing-out on a process that does not come around again for another 4-5 years. Policy advocates that move early and

well, bringing the right information and knowledge to the planning table at the right times, can have significant influence on these processes because they are formative and many advocates with other interests will often not plan well.

The results of an SMC mainstreaming project will often far exceed what the planning process is used to receiving, and that can be highly influential in a resource scarce, competitive context. A key issue for SMC advocates in any country, whether or not directly involved in the mainstreaming projects, is to make sure that especially important issues are subjected to analysis before the development planning process moves from "formative" to "consolidative" stages (i.e. when final trade-offs are being made).

Typically, development-planning work starts at least 12-18 months in advance of the conclusion of the current 4-5-year development plan. The following generic stages of development planning are typical.

- Diagnostics stage: This is when decisions are taken regarding the highest development priorities for the country and the key issues related to those priorities (e.g. poverty assessments, sector and sub-sector papers, assessments of technical and financial assistance needed to achieve the MDGs over the long term, etc.). This would be a good time for an SMC issue to be identified as being of high importance and why. The costs of inaction and future risk scenario of not acting on the SMC issue can be especially influential at this point.
- Identifying policy options and choices stage: This is when decisions are taken to define or refine national development objectives and targets (e.g. sectoral and cross-sectoral policy reforms; frameworks needed to accelerate SMC decision making such as market access rules, chemical inventories, monitoring systems, etc.). This is the ideal time to bring the preliminary results of a mainstreaming project to the table illustrating what can be done and at what approximate cost and benefit levels.
- Identifying national capacity development needs: This is when decisions are taken to support implementation of priority actions to achieve national SMC objectives and targets. The description of policy options in the mainstreaming project and associated cost-benefit analysis will be especially influential at this point because the proposals will typically be far more advanced than many other advocacy initiatives that are tabled in discussions at this stage.
- Development of implementation plans and schedules: This is when decisions are taken for scheduling and notionally budgeting the highest priority objectives and targets. By this stage the mainstreaming project should have developed a national chemicals management plan with budgeting and a proposed schedule for resource needs and disbursements.
- Detailed Investment planning and resource mobilization: This is when decisions on budgeting for the development plan are firmed-up, including in consultation with development partners of all kinds (e.g. costing infrastructure investments, equipment investments, micro-finance initiatives, assessing national budgetary implications, awareness raising and discussion with development partners, etc.). The mainstreaming project should by this point have produced a fully consulted, detailed budget on proposed actions for the next five years.
- These same types of considerations should be given to any major decision-making process in which the results of a mainstreaming project could have influence. The stages identified, however, will vary depending on the type of decision-making process and the unique characteristics of a country.

4.2.4 PM (iv) – Appoint project coordinator, *PM (v)* – Agree on work plan and anticipated schedule, PM (vi) – Finalize project communication package

These items occurred without incident in a timely manner in most projects. In a few cases, changes in Project Coordinator disrupted project delivery, but this was not to a significant degree. In a few countries, the project coordinator was more influential than the Project Director, in particular when selected national consultants previously held high positions in government; i.e. they were well respected, knowledgeable and had good independent networks outside the technical units of ministries.

4.2.5 PM (vii) – Compile list of key stakeholders

In about half of the mainstreaming countries there was a focused effort to expand the base of stakeholders to non-traditional participants. However, in some of the countries, this occurred with considerable reticence primarily because of the lack of experience and confidence in the national project executing agencies. The lack of clear, high-level project buy-in and a strong Project Director

also tended to bias the project to its technical dimensions rather than broadening-out to other policy communities.

For mainstreaming projects to be successful, it is very important to ensure that the project engages key stakeholders in chemically intensive economic sectors and ministries. It should also avoid treating stakeholders as a periodic audience when, in fact, they should be a support network for development of the project's content and promotion of the project's results at the center of government. Stakeholders should receive regular opportunities to contribute and the project teams should actively seek them out as members of Sector Teams in the production of key project deliverables (e.g. the Situation Report and National Action Plan on Chemicals). That proved to be a very significant factor for project results in the most successful country projects.

In certain LDCs, where capacity for SMC is very low within the Government, it is also very important to draw on the expertise and willingness of international companies, having them participate actively in the project. This is often an eye-opener for government partners with less knowledge and capacity. It also allows access to higher levels of Government since these companies have relatively strict corporate environmental standards and can have significant influence in the economic development of the country.

4.2.6 PM (viii) - Institute Interagency Coordinating Mechanism (ICM)

The ICM should include all ministries with significant responsibilities for aspects of chemicals management and add new, non-typical participation from central planning and finance agencies. The most successful mainstreaming countries did this very effectively from the outset with the ICM group meeting for the first time in conjunction with the Project Inception Workshop, and at least 4 other times during the project to consider the highest SMC priorities and the direction of the economic analysis.

The countries that had the greatest difficulty achieving all their project outputs and outcomes, failed to make a serious commitment to formalizing the ICM, or they accepted very modest expectations for an ICM rooted in earlier environment sector technical projects. These problems can be directly tied back to insufficient high-level buy-in for the project and an inadequate Project Director function. Another cause of shortcomings in this area resulted from Ministers not understanding that the ICM was a formal structure that was to be created in the projects but continue to function as an important ongoing feature of SMC governance in the country.

It is also important for mainstreaming countries to view the ICM role as political/policy oriented as well as technical. This can be achieved by having:

(a) The Minister of the executing agency talk to the ICM early in the project;

(b) Having a two level ICM:

  (i) A National Steering Committee (i.e. high level policy consensus building) co-chaired by a Permanent Secretary or similar senior official from a Ministry of Finance, Planning and/or Economic Development ministry and the Permanent Secretary of the Executing agency. This group would meet for a few hours at project start-up, at the end of the Situation Report step, to discuss a draft National Action Plan, and at or near the end of the project to discuss agreed priorities for incorporation into development planning or sector strategy documents depending on the country circumstances

  (ii) An interagency working group containing policy and technical expertise from key ministries that reports to the National Steering Committee. This group would meet more regularly to discuss drafts of project deliverables etc. as is typical for an interministerial working level group.

This model might not work for all mainstreaming countries, but all project plans should be assessed against the need for mainstreaming projects to have strong interagency cooperation, regular engagement of key agencies in chemically intensive sectors, and proactive efforts at, a) education of the ICM members, and b) encourage the ICM to take widely accepted decisions at key points in the mainstreaming effort. The most successful mainstreaming projects understood this very well and the results showed.

4.2.7 PM (ix) – Multistakeholder Project Inception Workshop

This criterion relates strongly to the discussion in Section 2.2.5. There were significant differences between mainstreaming countries regarding the attention paid to non-governmental as opposed to traditional government stakeholders in project inception. The projects that were relatively effective uniformly engaged all significant stakeholders at the project inception workshop, albeit within the

limits of travel budgets. Those countries that did not do so, either encountered delays or resistance to major project recommendations at later steps in the project. This issue was as much about political culture as it was about falling back onto traditional technical project practices. In several cases, influential stakeholders were simply not engaged early and often enough, even though this would have been an incremental action within project time and resources.

4.3 Step 1: Baseline Analysis

Table 2
Checklist for Step 1 Baseline Analysis

S1 (i) - Agree on sectors of focus for Situation Report *S1 (ii)* – Constitute Core Analytical Team *S1 (iii)* – Constitute Sector Teams	*S1 (iv)* - Conduct research *S1 (v)* – Draft the National Situation Report

4.3.1 S1 (i) - Agree on sectors of focus for Situation Report

The mainstreaming methodology encourages countries to consider cross-sectoral SMC governance gaps seen from the perspective of sectors that are:

1. A priority in the country's current and anticipated development plan
2. Known for their relatively high chemical intensity and thus actual or potential risk to the environment, human health and sustainable economic development
3. Where the poor (i.e. those people with limited resources to protect themselves) and other vulnerable groups are especially exposed to risks
4. Where international trade risks are high if SMC is not improved.

In addition, all countries were encouraged to view their environment legal and institutional infrastructure through these lenses.

There was a high degree of communality between countries on the sectors chosen for study, with agriculture, chemically intensive sub-sectors of industry (e.g. chemicals manufacturing, leather and textiles), mining, health and environment sectors being obvious choices and then additions were added for unique country circumstances.

Once the sectoral approach was taken, the countries almost uniformly saw that this “different” way of viewing the subject matter engaged them in issues, and interministerial and stakeholder engagement that they had not previously experienced in more technical oriented environment sector projects. This was a steep learning curve for environment ministry officials in some of the countries. There was a tendency to be somewhat “shy” relative to how this more established practice occurs in OECD countries. However, this approach is an essential step for breaking-out of the silo mentality that environment ministries can often be confined to in developing countries that are catching-up in policy, legal and institutional infrastructure for SMC.

4.3.2 S1 (ii) – Constitute Core Analytical Team

Constituting the core analytical team was a significant challenge in most of the countries. The core analytical team was to be comprised of a senior economist, a senior health expert and the project coordinator. This core team was to support sector research teams that ideally were to be comprised of sectoral ministry representation.

The senior economist’s role was to advise the sector research teams on the economic data that would be needed to both describe the economic characteristics of the sector and to support an economic analysis of the cost and benefits of actions to address priority SMC-related environmental and health problems in each sector. The economist was also to provided analysis with a view to improving understanding of the effects that gaps in chemicals management were or could have on sustainable development within the priority sectors.

However, almost all projects struggled with this element of project design because of the difficulty of finding domestic economic analysis consulting expertise, let alone expertise in environmental economics. As a result, international experts provided most of this expertise, which undercut the intent of building endogenous capacity. However, on the other hand, when an international consultant was pared with a motivated domestic consultant, there was significant transfer of expertise.

The lack of local capacity also tended to reinforce past practices of treating the subject as largely an environmental technical matter rather than SMC being an important issue that is core to sustainable economic development. We must conclude, therefore, that the projects failed to fully integrate economic analysis, although this type of analysis still represented a far more explicit portion of the mainstreaming projects than had ever been the case for most countries that had previously completed environmental sector technical projects without drawing-out the wider development planning implications.

Similar problems occurred for recruiting the public health expert. Most countries were not able to identify this person because environmental health programs were non-existent or at very early stages of development. As such, health impact data was extremely sparse in most countries. Typically the Health Ministry served an on-again, off-again role to interject with public health observations rather than a more systematic approach being taken to illustrate the health impacts of unsound chemicals management in priority areas (i.e. pesticides in agriculture, chemical contamination of drinking water, etc.).

There was also a problem with lack of guidance on environmental health studies. While the Supplemental Cost-Benefit Analysis Guide allowed economic experts to follow a standardized approach that integrated well with the mainstreaming methodology, the environmental health aspects of the projects did not have that kind of support and that proved problematic in expanding upon these core project issues. In retrospect, it would have helped to have separate guidance on how to conduct an environmental health study.

4.3.3 S1 (iii) – Constitute Sector Teams, S1 (iv) - Conduct research and *S1 (v)* – Draft the National Situation Report

The Mainstreaming Guidance calls for establishing sector teams to gather information on chemicals management in priority sectors. Ideally, Sector Team Coordinators, selected from priority sector ministries, should lead the sector teams. Their responsibility is to:

- Conduct the overall management of the sector team;
- Assign roles and responsibilities amongst the members of the sector team;
- Ensure all the tasks assigned to them are completed in line with the agreed schedule;
- Ensure financial accountability of funds disbursed to the sector team for facilitating data collecting and report writing;
- Report any results and outstanding issues to Project Director in a timely manner; and
- Compile a situation analysis report of their assigned sector.

The Mainstreaming guide envisages that sector teams are to develop situation analysis reports of chemicals used in the sector with an emphasis on:

- Qualifying the links between major chemical management problem areas and human health and environmental quality (i.e. explaining the major issues for the environment, human health, worker safety and economic development etc. in the sector in terms that the non-expert policy decision-makers can understand); and
- Identifying which areas of the national SMC governance regime (i.e. policies, legislation, institutions and processes) need strengthening to improve capacities.

These reports would then serve as a basis for an updated National SMC Situation Report and subsequent priority setting and planning of interventions for strengthening the SMC regime.

The countries that established sector teams and encouraged active participation of sector ministry personnel uniformly did better than countries that did not do so. Their efforts greatly increased prospects for overcoming data hording problems in different ministries and improved acceptance of project results at the political and policy levels (i.e. because the sector teams developed ownership over sector reports, including identification of priority SMC needs in their sectors). Sector team coordinators also did a much better job of briefing management within their ministries along the way to reduce resistance to project recommendations that would otherwise be rooted in not knowing the history of the work.

The creation of sector teams also allowed for more decentralized awareness raising. Sector teams collected data and information in the region, and created awareness of people/entities at regional level that would have never made it to centralized workshops organized in the capital. However, some of

the mainstreaming countries that had sector teams failed to include private sector representation and, as such, they struggled with obtaining information from private sector stakeholders.

4.4 Step 2 Diagnostics and Needs Assessment

Table 3
Checklist for Step 2 Diagnostics

S2 (i) – Convene workshop of the entire project team to assess the draft National Situation Report *S2 (ii)* – Fill information gaps on the highest SMC priorities and revise the Situation Report	*S2 (iii)* – Circulate Situation Report for Multi-Stakeholder Comments *S2 (iv)* – Revise the Situation Report and SMC priorities as required by stakeholder comments

In general, the countries that produced the best project results, took this step very seriously with all stakeholders actively engaged, including the private sector. The one key message for this step is that without solid consensus building on SMC gaps needing to be addressed, the prospects for a strong up-take of project results at the end of the project were substantially lessoned. However, typically, that consensus building was only possible when the project was based on high-level project buy-in, a strong ICM and building on the work of sector teams, all topics previously discussed in this paper.

4.5 Step 3 Identification of National SMC Priorities

Table 4
Checklist for Step 3 Identification of National SMC Priorities

S3 (i) – Prepare concept papers on proposed highest priorities for mainstreaming *S3 (ii)* – Convene a full meeting of ICM	*S3 (iii)* – Revise Issue Concept Papers and Circulate Back to the ICM for Final Approval

The guidance for this Step 3 was more fully fleshed-out in the latest version of the Mainstreaming Guide, which some of the countries did not have at their disposal for initial project work planning. In most countries, the intent of this step was to develop a National Action Plan that included the highest SMC priorities that emerged out of the Situation Report. As such, if the project was strong in Step 2, it was typically strong in this step as well. Of course, the opposite was also true.

For the National Action Plan to be effective it should be for the use of all sectors that have a responsibility for sound management of chemicals. Thus ownership from early on in the project regarding chemical management priorities is absolutely essential. The process works well when it is followed in detail, as we saw in the most successful countries.

4.6 Step 4a Economic Evaluation

Table 5: Checklist for Step 4a Economic Evaluation

S4a (i) – Develop economic (cost-benefit) analysis framework *S4a (ii)* – Convene a workshop of the entire project team to review the economic analysis framework(s) *S4a (iii)* – Conduct the economic/cost-benefit analysis studies/reports	*S4a (iv)* – Update the *Issue Concept Papers* with the results of the economic analyses *S4a (v)* - Convene a meeting of the ICM to discuss results of the economic analyses

The economic analysis generally, and cost-benefit analysis demonstration studies specifically, were anticipated to be difficult. The country results in this step were highly uneven, primarily because of:

1. The countries were working from a point of quite low capacity and/or experience in environmental economics, although there was some variation in this regard

2. The lack of environmental economics capacities led to time delays for recruiting economists and poor quality work unless international experts weighed-in heavily on the work

3. Data availability is a significant problem in most developing countries, and economic analysis often required creative estimation and extrapolation beyond the current skills of most of the economists who worked on the projects

4. There was limited experience and guidance at the international level regarding practical and broadly accepted approaches for accounting for the costs of inaction on chemicals management.

Due to item 4, the Supplemental Economic Analysis Guide was produced. As work progressed with more countries joining the mainstreaming initiative, practical economic analysis examples began to be shared and the work overall improved. Based on available examples, other mainstreaming countries, and in particular engaged consultants, understood what could come out of a demonstration economic analysis project and the minimum requirements and quality that is expected.

The costs of inaction work led by UNEP Chemicals also provided national practitioners with internationally accepted ways to identify and account for important human health, environmental, and economic sustainability costs associated with poor chemicals management.[15] However, this study, published by UNEP in 2013, was available only to the last few countries that undertook the mainstreaming effort.

The Global Chemicals Outlook report, also published by UNEP in 2013, contributed significantly to improving awareness of the relationships between chemicals, policy and economics in a global context. That synthesis report proved effective for initial awareness raising at a senior level in mainstreaming countries, sensitizing officials to the economic dimensions of SMC.[16]

4.7 Step 4b Targeted Policy Instruments

Table 6
Checklist for Step 4b Targeted Policy Instruments

S4b (i) – Conduct studies/reports of policy instrument options to enable government action on identified priorities *S4b(iii)* – Update the *Issue Concept Papers* with the results of the policy analysis	*S4b (iv)* – Convene a meeting of the ICM to discuss results of the policy instruments analyses

The Step 4b guidance was more fully fleshed-out in the latest version of the Mainstreaming Guide, which several of the mainstreaming countries did not have available to them. However, the countries that were most successful put substantial effort into a National Action Plan for Chemicals Management that forced them to think concretely on what should be done, when and at what scale. By emphasizing the need to budget the National Action Plan for a 5-year period, countries also needed to focus tightly on clear policy instrument options.

The need to develop and budget a National Action Plan should be a key element of all future mainstreaming work.

[15] UNEP Chemicals, 2013. *Costs of Inaction on the Sound Management of Chemicals.* http://www.unep.org/chemicalsandwaste/UNEPsWork/Mainstreaming/CostsofInactionInitiative/tabid/56397/Default.aspx

[16] UNEP Chemicals, 2013. GCO: Global Chemicals Outlook, Towards Sound Management of Chemicals, Synthesis Report for Decision Makers. *http://www.unep.org/chemicalsandwaste/UNEPsWork/Mainstreaming/GlobalChemicalsOutlook/tabid/56356/Default.aspx*

4.8 Step 5 Mainstreaming SMC Priorities

Table 7
Indicators Checklist for Step 5 Mainstreaming SMC Priorities

S5 (i) – Prepare specific text for inclusion of the approved SMC priorities into chapters of the development plan *S5 (ii)* – Circulate specific text to the ICM for comment *S5 (iii)* - Convene a multistakeholder workshop to review projects results and proposals for the development plan	*S5 (iv)* - Present project final results to senior political office holders to encourage political uptake of project results (e.g. President or Prime Minister's Office, cabinet, inter-ministerial body, etc.)

Mainstreaming countries that did well at all the previous stages of the approach generally got to this stage with the international consultants still engaged (i.e. the contracts were before end date). Those countries benefited substantially from having sounding broads on the type of language to try to have incorporated into the National Development Plan (S5(i)). In some cases the international consultants were brought back for the wrap-up ICM and multistakeholder workshops with Ministers and media in attendance and this substantially improved prospects for follow-on work (S5(ii) and S5(iii)) because it engaged ministers in discussion with "international experts". Those countries that made significant errors in project buy-in and ICM activation at the project start-up rarely got this far, at least with international consultant support.

5.0 Recommendations

Based on the above analysis, it is recommended that:

5.1 Guidance

1. Mainstreaming work should continue with the existing UNDP Guide for Integrating the Sound Management of Chemicals in MDG-Based Policies and Plans.
2. The UNEP Supplemental Cost-Benefit Economic Analysis Guide should be expanded with greater detail, including with additional examples drawn from cost-benefit analyses already completed under the UNDP-UNEP PI, to help overcome indigenous economic analysis capacity barriers.
3. A second supplemental guidance on "Conducting Environmental Health Studies" should be completed, including guidance on how environmental health programs can be structured.

5.2 UNDP-UNEP PI Administration

1. The UNDP-UNEP PI should maintain a centralized oversight and coordination function to foster overall quality assurance and quality control of the projects and provide added profile at the national level.
2. A much more comprehensive and accessible repository of country mainstreaming documents should be established at UNEP Chemicals to help foster sharing of global SMC mainstreaming experience.
3. To enhance the environmental health content of the mainstreaming projects, the WHO should be encouraged to become more fully engaged building on existing cooperation with UNEP Chemicals.
4. Greater efforts should be made to inform the "One UN at the Local Level" on what SMC mainstreaming entails, including in context of the United Nations Development Assistance Framework (UNDAF) context.
5. UNEP should build on the Global Chemical's Outlook (2013) and the Costs of Inaction on Sound Management of Chemicals (2013) studies consistent with the recommendations in those studies to foster awareness raising and political profile for mainstreaming efforts in more countries.

5.3 Project Mobilization

1. Much greater attention should be paid to project start-up timing such that mainstreaming projects are in coordination with national development planning or significant sector strategy planning processes. This would typically entail a mainstreaming project launching 12-18 months in advance of these formal planning initiatives at the national level. Conversely, projects that cannot demonstrate this coordination (i.e. at least in substantial part) should be declined or delayed until appropriate timing is achieved.
2. National project buy-in should go beyond the SAICM focal point to also be formalized at the center of government (i.e. central agencies directly involved in coordinating national development or sector strategy planning, depending on demonstrated national circumstances).
3. In addition, the project should be championed (i.e. if not co-executed) by a partnership of environment and health ministries ideally with the express willingness of industry ministries to participate. This should be included in the formal project proposal information package sent out from any designated funding support mechanism.
4. Better formal communication with mainstreaming countries regarding the "successful characteristics" of mainstreaming projects should be undertaken at the early proposal consideration stages. This could be done with a package of fact sheets, also to be included in the formal proposal information package. Countries could be given the opportunity to "agree" with the objectives of these fact sheets similar to other formal project acceptance processes. Short facts sheets (i.e. 2 pagers) should include:
    - Mainstreaming Projects and the National Development Policy Framework: Technical Issues and Beyond
    - The Project Director: Successful Characteristics and Duties
    - The Interagency Coordinating Mechanism (ICM): How it Can Be Constituted and What it Does
    - The Core Analytical Team: Environment, Health and Economics in a Multidisciplinary Approach
    - Interagency Participation[17] (i.e. sector teams, stakeholders in other sectors, etc.)
    - Budgeting the National SMC Action Plan and Why That is Important

5.4 International Expert Support

1. International Consultants should be brought on early in the projects (i.e. at project inception) and retained as continuity support throughout the projects to avoid the pitfalls of staff turnover and variable quality of deliverables.
2. The UNDP-UNEP PI should pre-qualify a roster of qualified international experts that can assist country SMC mainstreaming projects.
3. The Terms of Reference (ToRs) for the international expert support should be standardized including early and sustained participation throughout the projects, reporting to both the country Project Director and the administration of the UNDP/UNEP PI, and a final project wrap-up report to enable experience sharing from the center of the PI to other countries.
4. Standard ToRs with respect to the roles and responsibilities of other core analytical team members should also be prepared (i.e. the project coordinator/environment expert, the health expert and the national economist), but of course with room for tailoring to national circumstances while retaining core expectations.

[17] A fact sheet on stakeholder participation could also be offered, but in many countries this raises politically sensitive issues that are best left to a dialogue with other agencies about bringing their traditional stakeholders to the table from industry and NGOs.