



PROJECT PREPARATION GRANT (PPG)

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

Submission date: 04/11/2012

GEF PROJECT ID: 4741

GEF AGENCY PROJECT ID: 4827

COUNTRY(IES): Ecuador

PROJECT TITLE: Integrated And Environmentally Sound Pcb Management In Ecuador

GEF AGENCY(IES): UNDP, (select), (select)

GEF FOCAL AREA(S): Persistent Organic Pollutants

A. PROJECT PREPARATION TIMEFRAME

Start date of PPG	07/01/2012
Completion date of PPG	07/01/2013

B. PROPOSED PROJECT PREPARATION ACTIVITIES (\$)

Describe the PPG activities and justifications:

1. Definition of needs and strategies for institutional strengthening

Building on the analyses carried out during the preparation of the National Implementation Plan (NIP), a recent revision of the National Chemical Profile, carried out as part of the SAICM initiative in Ecuador and other results obtained to date, PPG funds will be used to carry out detailed evaluations of the main institutional bottlenecks which currently prevent the environmentally sound management and disposal of PCBs according to the actions proposed by the NIP. Also to define a detailed capacity building strategy.

2. Definition of needs and strategies for improvements to regulatory and policy framework including enforcement in relation to PCBs.

Taking advantage of previous analyses carried out through the NIP preparation, PPG resources will be used to develop specific recommendations of regulatory and policy instruments that need to be developed or modified in order to ensure the effective execution of the project, together with strategies for achieving their development or modification in association with other relevant institutional stakeholders.

3. Refine PCB inventory in Ecuador and develop methodology and general principles for a sustainable PCB Waste Management Scheme.

Building on the analysis carried out through the NIP preparation, the PPG will finance a refinement of the PCB inventory in Ecuador. A 2003 inventory, recently validated by work carried out under the SAICM initiative reveals that there are more than 450 thousand gallons of PCB-contaminated oil in Ecuador. Furthermore, it is estimated that between 30 % and 50 % of transformers in the country could be contaminated. Nevertheless, information is incomplete and sketchy.

Current studies highlight the limitations of existing information about PCBs in Ecuador in terms of geographic location, type of equipments and concentrations. PPG resources will be used to further advance gathering information and to develop an appropriate methodology to account for all PCBs stocks at the

national level. Furthermore, general principles for sustainable PCB Waste Management Scheme (including scoping of PCB dismantling , temporary storage and disposal planning) will be developed and applied. This will set the stage for additional work in this area during the Full Size Project execution.

4. Development of M&E Strategy

The PPG will finance the definition of procedures and indicators for monitoring stocks of PCBs as well as their impacts on human health and the environment. Particular attention will be paid to the identification of capacity building needs, in order to ensure that monitoring procedures are applied on a permanent basis which at the same time is responsive to changing needs and threats; and to the definition of objectively verifiable and practical indicators which are relevant to the outcomes and objectives of the project and of the National Implementation Plan.

5. Project Co-finance scheme Project definition

The PPG activities will include reaching out to PCB holders as co-financing entities for the replacement of PCB equipment in their ownership. The activities will include meetings and other contacts assisting the PCB holders to determine their participation and co-financing needs for achieving the phase-out of PCB materials in their possession.

The PPG will finance the definition of the details of practical and administrative aspects of project design, allowing the formulation of a Project Document, including: i) barrier analyses, based on consultant reports and a multi-stakeholder workshop; ii) a logical framework, based on a multi-stakeholder workshop and the recommendations of consultancy studies, including indicators and quantified targets, together with baseline values supplied by thematic consultants; iii) a participation strategy, iv) an analysis of the programmatic baseline; v) a project budget and work plan in standard UNDP and GEF format; vi) a monitoring and evaluation strategy; vii) a learning and replication strategy and viii) text and supportive technical analyses detailing the justification and strategies of the project.

All tasks would be limited to what is absolutely necessary for the preparation of the FSP

List of Proposed Project Preparation Activities	Output of the PPG Activities	Trust Fund	Grant Amount (a)	Co-financing (b)	Total c = a + b
Definition of needs and strategies for institutional strengthening	Institutional strengthening strategy	GEF TF	10,000	10,000	20,000
Definition of needs and strategies for improvements to regulatory and policy framework including enforcement in relation to PCBs	Regulatory and legal improvement strategy	GEF TF	10,000	10,000	20,000
Refine PCB inventory in Ecuador, develop methodology and general principles for a sustainable PCB Waste Management Scheme	Refined PCB inventory, methodology and principles	GEF TF	18,000	20,000	38,000

Development M&E Strategy	M&E plan for Full Sized Project	GEF TF	3,000	10,000	13,000
Co-finance scheme Project definition	Co-finance commitments project documentation	GEF TF	9,000	10,000	19,000
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
		(select)			0
Total Project Preparation Financing			50,000	60,000	110,000

C. FINANCING PLAN SUMMARY FOR PROJECT PREPARATION GRANT: (\$)

	Project Preparation	Agency Fee
Grant Amount	50,000	5,000
Co-financing	60,000	
Total	110,000	5,000

D. PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES)¹

Trust Fund	GEF Agency	Focal Area	Country Name/ Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
Total PPG Amount				0	0	0

¹ No need to provide information for this table if it is a single focal area, single country and single GEF Agency project.


E. PPG BUDGET

Cost Items	Total Estimated Person Weeks for Grant (PW)	Grant Amount (\$)	Co-financing (\$)	Total(\$)
Local consultants *	40.00	20,000	20,000	40,000
International consultants*	8.00	24,000		24,000
Travel		3,000		3,000
Workshops and stakeholder consultation		3,000	20,000	23,000
Government personnel			20,000	20,000
				0
Total PPG Budget		50,000	60,000	110,000

* Annex A for Consultant cost details should be prepared first before completing this table. See notes on Annex A for the required detailed information. This table is the sum of all local and international consultants presented in Annex A.

F. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF policies and procedures and meets the GEF LDCF/SCCF Trust Fund criteria for project identification and preparation.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Dr. Yannick Glemarec, Executive Coordinator, UNDP-GEF		4/11/2012	Dr. Suely Carvalho, Principal Technical Advisor for POPs/Ozone UNDP/MPU/Chemicals	1-212-906 6687	Suely.carvalho@undp.org

Annex A

Consultants Financed by the Project Preparation Grant (PPG)

Type of Consultant	Position / Titles	\$/ Person Week¹	Estimated PWs²	Tasks to be Performed
Local	National Expert	1000	10.00	<p>A) Detailed evaluation of main institutional bottlenecks which present obstacles to effective implementation of the NIP on PCBs</p> <p>B) Define detailed strategies for the development of institutional capacities</p> <p>C) Develop specific recommendations of regulatory and policy instruments that need to be developed or modified</p> <p>D) Define strategies for the modification of regulatory and policy framework on PCBs.</p>
Local	Pcb Expert	1000	10.00	<p>Building on the data recollected during the NIP preparation, the National PCB will make:</p> <p>A) Refine PCB inventory based on most recent information.</p> <p>B) Provide technical assistance with overall project development</p> <p>Tasks would be limited to what is absolutely necessary for the preparation of the FSP</p>
Local	Technical Specialist	1000	20.00	<p>A) Definition of mechanisms, capacities and procedures required for ensuring the monitoring of stocks and emissions (leaks) of PCBs as well as their impacts on human health and the environment.</p> <p>B) Development of initial proposals, to be fine tuned during the implementation phase, of an inter-institutional and inter-sector monitoring and information management system, which will enable information on PCBs to be collected, managed and made available in such a way as to allow PCB issues to be addressed in the long term in an effective and efficient manner.</p> <p>C) Indication of critical areas and institutions in which capacity is required for the effective implementation of the monitoring and information management system.</p> <p>D) Support the other members of the team in the development of proposals</p>

				<p>of objectively verifiable and practical indicators which are relevant to the outcomes and objectives of the project and of the National Implementation Plan.</p> <p>E) Development of specific indicators of the adequacy of provisions and capacities for monitoring and information management in relation to PCBs, with corresponding baseline and target values</p> <p>E) Definition of operational strategies and resource needs for effective project implementation</p> <p>F) Participatory scoping of project strategies (threats analysis, logical framework, institutional and participation arrangements)</p>
(Select)				
(Select)				
(Select)				
International	Environmental Specialist	3000	8.00	<p>A) Project Scoping and definition</p> <p>B) Review and structure existing data and methodologies for development of key outputs; site-specific indicators for baseline studies as well as indicator monitoring strategy for project benefits;</p> <p>C) Define how databases and technical analyses can be appropriately adapted to the scope, scale and needs of project stakeholders and implementer;</p> <p>D) Deliver overall orientation to PPG team in relation to GEF logic and information requirements;</p> <p>E) Ensure that proposed project activities are in line with current GEF strategies and priorities.</p> <p>F) Develop final project log frame matrix in consultation with stakeholders</p> <p>G) Detailed formulation of incremental cost matrices;</p> <p>H) Final review and definition of strategic work plan, and cost-efficiency analysis</p>
(Select)				

¹ Provide dollar amount per person week.

² Provide person weeks needed to carry out the task

