



PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: Medium-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

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PART I: PROJECT INFORMATION

Project Title:	Environmentally sound management and disposal of polychlorinated biphenyl (PCB) - containing equipment and DDT wastes and upgrade of technical expertise in Guatemala		
Country(ies):	Republic of Guatemala	GEF Project ID: ¹	
GEF Agency(ies):	UNIDO (select) (select)	GEF Agency Project ID:	100117
Other Executing Partner(s):	Ministry of Environment and Natural Resources (MERN)	Submission Date:	2014-04-25
		Resubmission Date:	
GEF Focal Area (s):	Persistent Organic Pollutants	Project Duration (Months)	36 months
Name of parent program (if applicable):		Project Agency Fee (\$):	190,000
<ul style="list-style-type: none"> For SFM/REDD+ <input type="checkbox"/> For SGP <input type="checkbox"/> For PPP <input type="checkbox"/> 			

A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK²:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
(select) CHEM-1	GEFTF	2,000,000	4,000,000
Total Project Cost		2,000,000	4,000,000

B. INDICATIVE PROJECT DESCRIPTION SUMMARY

Project Objective: To strengthen national capacities on BAT/BEP for the environmentally sound management of PCBs, including disposal of PCB-containing oil and wastes, PCB-contaminated equipment, and DDT (up to 400 tons PCB and PCB-waste and 15 tons DDT, to be verified during PPG).						
Project Component	Grant Type ³	Expected Outcomes	Expected Outputs	Trust Fund	Indicative Grant Amount (\$)	Indicative Cofinancing (\$)
1. Legal, regulatory and institutional capacity for the ESM (environmentally sound management) of PCBs and DDT within the framework of POPs (including identification, handling, transportation and disposal)	TA	Strengthened national regulatory and institutional capacities for PCBs and DDT within the framework of POPs	1.1. Legal instruments and technical tools are designed and available to regulate and control ESM of PCBs and DDT within the framework of POPs, including transboundary movement. 1.2 Working directives on ESM of PCBs and DDT within the framework of POPs- are set for Government bodies and other national organisations 1.3. Relevant	GEFTF	150,000	300,000

¹ Project ID number will be assigned by GEFSEC.

² Refer to the reference attached on the [Focal Area Results Framework and LDCF/SCCF Framework](#) when completing Table A.

³ TA includes capacity building, and research and development.

			<p>stakeholders are trained and able to use/apply the norms, policies and regulatory framework for ESM of PCBs and DDT within the framework of POPs</p> <p>1.4. Society in general (including CSOs, NGOs, ethnic groups and others), is aware of the proposed legal / regulatory framework and able to participate on its discussion, with due consideration of gender and other key issues.</p>			
2. Environmentally sound management (ESM) of PCB-containing electrical equipment and waste, and DDT	INV	ESM of PCBs and DDT established	<p>2.1. BAT/BEP guidance is available for managing PCB wastes by hazardous waste operators.</p> <p>2.2 National reference laboratory for PCBs and DDT established and inventory data validated and geo-referenced;</p> <p>2.3 ESM system for PCBs established at each process step (identifying, handling, collecting, transport, safe interim storage and phase-out);</p> <p>2.4 Up to 400 tonnes of PCB wastes and PCB-containing equipment and 15 tonnes of DDT are decontaminated or disposed of based on a cost-benefit analysis of the disposal strategies</p> <p>2.5 Strategy developed for the identification, collection and disposal of DDT and PCB-containing oil and PCB containing equipment.</p>	GEFTF	1,500,000	3,000,000

			<p>2.6 A list of potentially contaminated sites, with PCBs or DDT, is prepared.</p> <p>2.7 Long-term PCB and DDT elimination and disposal strategy, including financial schemes, developed and approved (based on project results)..</p>			
3. Knowledge management and awareness raising	TA	Information on treatment and disposal of PCBs and DDT is processed and knowledge available and provided, and awareness-raising activities are conducted with professional, agricultural, industrial and other organizations, including chambers, government institutions, NGOs, citizens organizations, and owners of PCB and DDT.	<p>3.1 Staff of MENR and relevant state organizations is trained on all aspects of BAT/BEP for ESM of PCBs, DDT and wastes, data tracking and reporting, including the use of on-line databases.</p> <p>3.2 Hazardous waste treatment operators are trained on BAT/BEP for the ESM and disposal of PCB/DDT wastes.</p> <p>3.3 Transporters of PCBs wastes are trained on BEP issues applicable to their activity.</p> <p>3.4 Members of pertinent professional, agricultural, industrial or other organizations, the electrical sector, NGOs and citizen groups participate in workshops to become aware of ESM of PCB and DDT, and of alternatives for crop and disease protection</p>	GEFTF	90,000	180,000
4. Project management and monitoring and evaluation	TA	Project management and monitoring and evaluation established	4.1 Monitoring and evaluation framework designed and implemented according to GEF procedures	GEFTF	80,000	160,000
Subtotal					1,820,000	3,640,000

Project Management Cost (PMC) ⁴		(select)	180,000	360,000
Total Project Cost			2,000,000	4,000,000

C. INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)

Sources of Cofinancing	Name of Cofinancier	Type of Cofinancing	Amount (\$)
National Government	Ministry of Environment and Natural Resources	In-kind	520,000
National Government	Public Utilities	Cash	350,000
Private Sector	Private Utilities	Cash	2,900,000
GEF Agency	UNIDO	Cash	90,000
Others	To be determined	Unknown at this stage	140,000
Total Cofinancing			4,000,000

D. INDICATIVE TRUST FUND RESOURCES (\$) REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount (\$ (a))	Agency Fee (\$ (b) ²)	Total (\$) c=a+b
(select)	(select)	(select)				
Total Grant Resources						

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table.

² Indicate fees related to this project.

E. PROJECT PREPARATION GRANT (PPG)⁵

Please check on the appropriate box for PPG as needed for the project according to the GEF Project Grant:

	<u>Amount Requested (\$)</u>	<u>Agency Fee for PPG (\$)⁶</u>
• No PPG required.	-- 0--	--0--
• (upto) \$50k for projects up to & including \$1 million		
• (upto)\$100k for projects up to & including \$3 million	85,000	8,075
• (upto)\$150k for projects up to & including \$6 million		
• (upto)\$200k for projects up to & including \$10 million		
• (upto)\$300k for projects above \$10 million		

PPG AMOUNT REQUESTED BY AGENCY(IES), FOCAL AREA(S) AND COUNTRY(IES) FOR MFA AND/OR MTF PROJECT ONLY

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

MFA: Multi-focal area projects; MTF: Multi-Trust Fund projects.

⁴ To be calculated as percent of subtotal.

⁵ On an exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

⁶ PPG fee percentage follows the percentage of the GEF Project Grant amount requested.

PART II: PROJECT JUSTIFICATION⁷

Project Overview

A.1. Project Description. Briefly describe the project, including ; 1) the global environmental problems, root causes and barriers that need to be addressed; 2) the baseline scenario and any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental/additional cost reasoning and expected contributions from the baseline , the GEFTF, LDCF/SCCF and co-financing; 5) global environmental benefits (GEFTF, NPIF) and/or adaptation benefits (LDCF/SCCF); 6) innovativeness, sustainability and potential for scaling up

Global environmental problems, root causes and barriers that need to be addressed

1. Guatemala is a developing country and a Party to the Stockholm Convention (SC). The National Implementation Plan (NIP) was prepared with grant assistance from the GEF and endorsed on May 6, 2010. The PCB inventory is based on information collected from 12,545 pieces of electrical equipment, 199 of which are likely to contain unacceptable concentrations of PCBs. From that inventory, the total weight of contaminated transformers and wastes is estimated as 440 tons (168 tons of contaminated oil and 272 tons of contaminated equipment); however, since Chlor-N-Oil test kits were used for the inventory, there is no confirmation of the specific concentrations of PCBs in those transformers. At the moment, these stocks are generally stored in open areas and PCB-containing oil may be leaking from the equipment and containers.
2. The inventory of POPs pesticides determined the existence of 15 tons of waste DDT that belong to the Ministry of Public Health (MoH), which are located in a warehouse in Guatemala city. These stocks are no longer in use since DDT was phased-out in the health sector, but the storage conditions have been precarious for a long time, so it is likely that the warehouse is a contaminated site, which poses threats to health and the environment.
3. On the other hand, the largest electrical utilities lack guidance on PCB management and disposal, and their management and technical staff is not fully aware of the risks posed by PCBs. Therefore, contaminated transformers are not properly identified and handled, and precautionary measures are not being implemented to protect the health of their personnel, eliminate cross-contamination of clean equipment and oil, and avoid leakages of PCBs to the environment.
4. The NIP identified that current legislation does not fully comply with the SC, specially regarding POPs import, management and disposal. The Government has made efforts to build the internal capacity and expertise to ensure that POPs are handled, transported, stored and disposed of in an environmentally sound manner, but this goal requires international cooperation to ensure that all steps of the process adhere to international standards.
5. Although the previous paragraphs describe a very challenging baseline scenario for POPs management in Guatemala, there is a great deal of political willingness of its National Government through the Ministry of Environment and Natural Resources and the Ministry of Health. As stated in paragraph 1, Art. 13 of the SC, Guatemala is truly willing *"to provide, within its capabilities, financial support and incentives in respect of those national activities that are intended to achieve the objective of this Convention in accordance with its national plans, priorities and programmes."* GEF, as financial mechanism for the SC would provide adequate and sustainable financial resources to assist Guatemala in its implementation of the Convention, as stated in paragraphs 2 to 6, Art. 13 and Art. 14 of the Convention.
6. To provide additional support to the MERN on implementing the SC, on August 2013 the Government of Guatemala created the National Coordinating Commission on Persistent Organic

Pollutants (Government Decree 256-2013), which will articulate relevant government sectors and provide advice to the MERN on POPs issues during a period of five years.

The baseline scenario and any associated baseline projects

Baseline scenario

7. UNIDO's GEF-funded project *"Enabling Activities to Facilitate Early Action on the Implementation of the Stockholm Convention on Persistent Organic Pollutants (POPs) in the Republic of Guatemala"* supported design of the first NIP for the SC, which was designed and the following seven priorities were established: (1) Regulatory framework; (2) Analytical capacity; (3) Information; (4) POPs pesticides management; (5) PCBs management; (6) Dioxins and furans management; and (7) Contaminated sites management or remediation. To fulfill these priorities, 17 plans were formulated within the NIP. Currently, the UNIDO, GEF-funded, project *"Enabling Activities to Review and Update the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs)"* aims to include the new POPs listed under the SC in the national POPs management strategy. POPs post-NIP projects have not yet been executed in Guatemala.
8. The proposed MSP aims to address priority 5, while contributing to the other six priorities such as the establishment of a legal framework for POPs management; sensitization, education, training and knowledge management on POPs; strengthening the institutional infrastructure, and introducing BAT/BEP measures and demonstration activities for POPs waste disposal for the environmentally sound management of POPs from Annexes A, B and C of the Stockholm Convention.
9. The Government of Guatemala, through its MENR has appointed a unit exclusively dedicated to the ESM of Chemicals and Hazardous Wastes to facilitate the integration of the MEAs on chemicals with the domestic legislative and regulatory frameworks. Through this MSP project, it aims at building capacity for the ESM of chemicals and wastes.
10. Currently, there is a modern but incomplete policy framework for dealing with natural resources, environmental management, conservation, energy, sound management of residues and solid waste, gender equity, environmental education, social development and population, nutritional and food safety, and decentralization, among the main aspects of sustainable development. A national chemicals management policy has been drafted with TA provided by UNITAR and is awaiting approval by the relevant national authorities.
11. However, specific legal instruments and technical tools are still missing for the regulation and control related to the ESM of POPs and POP-wastes, including BAT/BEP and transboundary movements. The project aims to support development of the required national legislation through specific tools and rules for the ESM of PCBs and DDT. In the case of PCBs, it will deal with the generation, distribution, and transmission of electricity; the identification, handling, phase-out, collection, transport, and interim storage of PCBs; management and disposal of PCB-contaminated equipment and PCB-wastes.

Baseline projects

12. This project aims to prevent and reduce threats to the environment and health posed by PCBs and DDT. It focuses on the prevention, management and disposal of PCBs and DDT, and the development of a framework for the environmental management of PCBs and DDT-contaminated sites. It will contribute to NIP implementation by reducing PCB and DDT stocks and the stress on human health and the environment caused by them. The project encourages

investments into the local PCB and DDT management and disposal sectors to facilitate the disposal of up to 400 tons PCB and PCB-waste and 15 tons DDT, to be verified during the PPG-phase.

13. Based on initiatives started between the public and private sectors to address the barriers described in the previous section, the project seeks to create the capacity and expertise at all steps of PCB and DDT management and disposal in Guatemala by applying BAT/BEP. It will assist Government bodies to put in place all the necessary legal instruments that would enable them to guide the national stakeholders on PCB-waste management, to ensure that it is undertaken according to international standards and is properly reported and documented. MENR's current efforts in establishing an electronic on-line system for monitoring, informing and reporting on pollutants through the use of Geographic Information Systems (GIS) will be strengthened with information about PCBs, DDT and their wastes. The project will provide and transfer the required BAT/BEP for handling, transporting and disposing of PCBs and DDT wastes.
14. The main owners of PCBs in Guatemala include public and private electric utilities, individual users, municipal electric companies, and private maintenance companies. The MENR has been already coordinating with them to ensure their participation in this project, particularly with the private companies and government electric-sector institutions. Through a series of meetings and agreements with public and private companies, the Ministry of Environment seeks to ensure the involvement of the main stakeholders on PCB management. Through coordination with the Ministry of Health that is the only holder of DDT, the MENR wants to ensure effective participation of health officials within the project. The PPG phase will be used to further discuss and define the project framework and reinforce stakeholders' involvement, which will ensure that the project design is sound and tailored to the country situation, and that all stakeholders are involved and informed about project activities and their responsibilities.
15. In fact, the PPG phase will be used to develop a tailored, practical and realistic project will involve at least the following elements:
 - (i) A series of meetings with public and private companies to identify all relevant stakeholders and discuss regarding their involvement in project activities.
 - (ii) A review of the existing national inventory on PCBs to determine potential gaps and set up an appropriate inventory strategy.
 - (iii) Identification of norms, regulations, guidelines, technical standards and enforcement systems for the ESM of POPs and the POPs wastes.
 - (iv) Feasibility analysis and safeguard measure for selecting the interim storage, transport and preliminary disposal strategy for PCB-contaminated equipment and DDT waste. According to this analysis, final disposal strategy will be drafted based on the inventory findings and consultations with national stakeholders and international experts.
 - (v) A project monitoring and evaluation plan in accordance with GEF and UNIDO standards.
 - (vi) Determination of in-kind and cash contribution and elaboration of a detailed work plan, including assignment of responsibilities and a timetable.

The proposed alternative scenario, with a brief description of expected outcomes and components of the project

16. This MSP would be the first post-NIP project to be executed in Guatemala. As such, it shall contribute importantly to equip Guatemala and the MENR to fulfill their obligations under the SC. The project also envisages a sustainable environmentally-sound management solution for PCBs and DDT in Guatemala by strengthening the institutional PCB and DDT management

structure within POPs framework, developing specific PCB policies and raising awareness among all relevant stakeholders and the general public. High-level political involvement will be ensured by involving, communicating and consulting with the recently set National Coordinating Commission on Persistent Organic Pollutants (NCCPOPs) and relevant project authorities and stakeholders on a regular basis. This will also be beneficial for a timely draft of the project document (during PPG) and overall project implementation. Periodic monitoring by UNIDO's project manager and project reports will help identify implementation gaps and provide sufficient information and time for project adjustments. This project also strengthens the technical capacity of the Coordination Unit for Environmentally Sound Management of Chemical Products and Hazardous Wastes Unit of the MENR, the Ministry of Health, and public and private partners, including individual users of the electrical services.

17. The project will have three technical components, the first of which supports the Legal, Regulatory and Institutional Capacity Development for the ESM and Disposal of PCB and DDT. Its outputs will ensure that: 1.1. the legal instruments and technical tools are designed and available to regulate and control ESM of PCB and DDT within the framework of POPs, including transboundary movement; 1.2. the working directives on ESM of PCBs and DDT are set for Government bodies and other national organisations; 1.3. the relevant stakeholders are trained and able to use/apply the norms, policies and regulatory framework for ESM of PCB and DDT within the framework of POPs; and, 1.4. the society in general (including CSOs, NGOs, ethnic groups and others), is aware of the proposed legal / regulatory framework and able to participate on its discussion, with due consideration of gender and other key issues.
18. The second and central technical component consists of the ESM and disposal of PCB-containing electrical equipment and wastes, and ESM and disposal of DDT. Its outputs will ensure that: 2.1. BAT/BEP guidance is available for managing PCB wastes through hazardous waste operators; 2.2. A national reference laboratory for PCBs and DDT is established and inventory data validated and geo-referenced; 2.3. An ESM system for PCBs is established at each process step (identification, handling, collection, transport, safe interim storage and phase-out; 2.4. Up to 400 tonnes of PCB wastes and PCB-containing equipment and 15 tonnes of DDT are decontaminated or disposed of based on a cost-benefit analysis of the disposal strategies; 2.5. A strategy is developed for the identification, collection and disposal of DDT and PCB-containing oil and PCB containing equipment; 2.6. A list of potentially contaminated sites, with PCBs or DDT, is prepared; 2.7. A long-term PCB and DDT elimination and disposal strategy, including financial schemes, is developed and approved (based on project results).
19. The third technical component is the knowledge management and awareness raising, and its outputs will ensure that: 3.1. Staff of MENR and relevant state organizations is trained on all aspects of BAT/BEP for ESM of PCBs, DDT and wastes, data tracking and reporting, including the use of on-line databases; 3.2. Hazardous waste treatment operators are trained on BAT/BEP for the ESM and disposal of PCB/DDT wastes; 3.3. Transporters of PCBs wastes are trained on BEP issues applicable to their activity; and, 3.4. Members of pertinent professional, agricultural, industrial or other organizations, the electrical sector, NGOs and citizen groups participate in workshops to become aware of ESM of PCB and DDT, and of alternatives for crop and disease protection. The fourth and last, non-technical component is Project management and monitoring and evaluation.

Incremental cost reasoning and expected contributions from the baseline, the GEFTE, LDCF/SCCF and co-financing

20. Without involvement of the GEF, the legislative framework addressing PCB and DDT within the framework of POPs will continue to be scattered and the local authorities will not have sufficient capacity to control, track and guide the private industries and PCB and DDT owners regarding

the proper management and disposal of their PCBs and DDT. The DDT stocks and PCB wastes will continue to pile up without proper care at the storage locations and these POPs will increasingly leak and pollute the environment. National packing, handling and transporting capacity will not be available and PCB wastes will most probably be collected and handled in ways that are not safe nor environmentally sound. Empty contaminated-transformers will continue to pile up and release PCBs into the environment and it would be expected that citizens, environmental NGOs and international organizations question the lack of preparedness of the country for PCB and DDT within the framework of POPs and even sue the Government for this. Limit values for U-POPs releases will not probably be set, and self-reporting of the annual U-POPs releases by the industries will not be possible, leading to an increase of Annex C POPs releases, which contradicts the objectives of the SC.

21. With the catalytic assistance of the GEF, it is expected that the PCBs and DDT management patterns will fundamentally improve. A comprehensive legislative framework for PCB and DDT within the framework of POPs, including import, handling, transportation and disposal, will enable Government bodies to track, control and ensure that PCBs and DDT-wastes are environmentally soundly managed in the country. Building capacity for closed-system transformer clean-up will prevent that PCB-containing oils are released into the environment. By involving PCB and DDT-waste owners in the project, through the Ministry of Environment, their compliance will be continuously improved and the expertise in this area at the MERN will be strengthened and made available for those industries that may decide to join the process later on.
22. The implementation and demonstration of BAT/BEP (to be discussed and verified during PPG) in the disposal of PCB and DDT-wastes and the validation of this system by international organizations will not only reduce the cost of disposal but will speed-up the pace of PCB and DDT disposal. New businesses will be strengthened within the domestic market by being able to propose their clients a sound and reasonably priced PCB and DDT management, particularly regarding PCB-wastes and its management options. Changes in the international these POPs disposal market will not have a direct effect on the these local POP-wastes elimination, thus the risk of not meeting the deadline of PCB phase out and elimination set by the SC will be mitigated. All of these measures will lead to significantly lower releases of PCBs and related Annex C POPs. The PCB and DDT waste management and disposal technologies and expertise will receive larger attention and recognition in the Central American region which might increase the pace of disposal of PCB and DDT-wastes in the region.
23. With the application of BAT / BEP for the implementation of this project and the financial support from the GEF, the costs of PCB and DDT-waste management within the framework of POPs will be reduced, benefiting mostly small holders who have fewer resources. This will impact upon reducing these POPs pollution and improving the environment and health protection for the most vulnerable people, which represents a highly valuable and beneficial opportunity.

Global environmental benefits (GEFTF, NPIF) and/or adaptation benefits (LDCF/SCCF)

24. The project will bring about global environmental benefits including the environmentally sound management and disposal of up to 400 tons PCB and PCB-waste and 15 tons DDT. Through sound management, proper storage and phase-out of POPs, the project will avoid releases from stocks. Applying BAT and BEP for PCB and DDT-waste disposal will reduce the releases of U-POPs. During PPG the owners of PCBs will be consulted to seek their potential involvement in the project, including identifying a strategy for storing and subsequently collecting and dealing with the identified PCB-contaminated equipment. In addition, this will allow the Guatemalan government to test a project on PCB disposal and develop a strategy to accomplish country's

obligations according to Annex A, Part II of the Stockholm Convention, which is to eliminate equipment and oils containing PCBs from use by 2025 and bring these under environmentally sound waste management by 2028. In addition, it will address country's obligations under Annex B Part II to eliminate DDT waste.

25. The project will bring global environmental benefits due to the environmentally sound management and elimination of up to 400 tons of PCB and PCB-waste and 15 tons of DDT. Through the repacking and proper storage of POPs, the project will avoid releases from stocks. Applying BAT and BEP for disposal will reduce the releases of U-POPs.
26. During project implementation gender equality will be addressed, warranted and implemented. Equal treatment will be given to women and men regarding laws and policies, and both sexes will have equal access to resources, opportunities and services generated and managed by the project, in the context of their own families, communities and society at large. To achieve this goal the project will systematically analyse and address, in all of its activities, the specific needs of both women and men. The interventions will enable anyone and everyone to participate in – and benefit equally from – project design and implementation. The main socio-economic benefit will be the reduced risks of exposure to POPs of the local communities, especially for those living close to the DDT and transformer storage locations with PCBs. The size of these populations will be assessed and reported in the project document and reports. Public awareness and sensitization activities will also address these social groups, specifically aimed at women, children and the poorest and least educated, since they are key target groups of the POPs Convention. The project also aims to identify the potentially contaminated locations and will prevent the entry to those areas, which will further help reduce the negative impact of POPs on the local populations. Another important socio-economic benefit will be the inclusion of local communities and women in the project-related activities.

Innovativeness, sustainability and potential for scaling up

27. In line with the SC requirements and with the GEF strategic objectives on POPs, the project will help build an environmentally-sound management (ESM) system for PCBs and DDT in the country and promote a replication effect for the ESM of other hazardous substances. A sustainable project administration will be achieved through strengthening the institutional POPs management structure, supporting the required policies and raising public awareness. High-level political involvement will be ensured through the Project Steering Committee, the National Coordination Committee POPs and a dedicated project team that will consult with the key stakeholders and relevant authorities on project matters. This will also be beneficial for a timely project execution.
28. This project is also innovative for Guatemala as it provides an opportunity to identify the amounts of PCBs used in key private-sector activities and raise interest and awareness on upgrading their technical capacities, including economic and environmental assessments. The implementation of this project will not only benefit Guatemala's overall capacity and capability to manage PCBs; it will also lend support to key industrial sectors to operate in a more environmentally sound manner.
29. Social sustainability will be ensured by strengthening public participation and ensuring access to project outcomes to the general public. In particular, local communities, NGOs, hazardous-waste management companies, maintenance companies and women and children will be involved in project activities to ensure that risks and problems associated with POPs are properly addressed and mitigation strategies are formulated. The general public will also be informed about health and environmental risks related to PCB and DDT within the framework of POPs and benefit

from eliminating their use and storing, transporting and disposing of them in an environmentally-sound manner with the support of trained media.

30. Potential scaling-up of the ESM of the PCBs and DDT within the framework of POPs disposed under this project will be achieved through dissemination of the lessons learned to a wider set of stakeholders dealing with PCB and DDT and other chemicals. Dissemination will clearly show the cost-effective benefits for the environment and human health of an environmentally sound management of PCB and DDT.

A.2. Stakeholders. Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and others as relevant) and describe how they will be engaged in project preparation:

31. The Stockholm Convention Unit under the Ministry of Environment and Natural Resources has developed the NIP and will start now on its review and update. The implementation of this project will build on the capacity of this unit and the MENR will work closely with other sectors: holders of DDT and PCB-wastes, owners of wastes contaminated with PCBs (municipal electric companies, electric generation sector and energy distributors), equipment maintenance technicians, carriers, companies handling DDT and/or PCB wastes, recyclers, industries and the National Cleaner Production Centre. The coordination and enforcement-related activities will be implemented by the MENR, while technical matters and training activities will be jointly implemented by the MENR and NCPC. As mentioned, the DDT stock belongs to the Ministry of Health, that will supervise its proper handling, packing and transportation.
32. The MENR in close cooperation with UNIDO will be responsible for mobilizing support, cooperation and consultation of all relevant stakeholders working, particularly with PCB-contaminated equipment and waste. This activity will be executed through stakeholder meetings, where the key project partners are involved and project tasks are discussed and assigned. This collaboration will potentially create opportunities to integrate PCB and DDT elimination/reduction into an industrial chemical reform and upgrading process. Moreover, institutions will be encouraged to share new POPs information with the local communities to mobilize local resources and promote social attitudes and consumer behavior changes. The following stakeholders have been identified as the main stakeholders for this Project: holders of PCBs and and DDT, owners of waste contaminated with PCBs (municipal electric companies, electric generation sector and energy distributors), equipment maintenance technicians, carriers, companies handling PCB and DDT wastes, recyclers, industries and the National Cleaner Production Centre.
33. The SC strongly promotes the involvement of the public in the preparation and implementation of POP-related activities as a major driving force for initiating and sustaining environmental health improvements. The project seeks public participation by consulting those potentially affected by the production, use and management of all POPs. Relevant community groups, including the people living close to facilities storing DDT waste, or close to an area where phased-out PCBs and PCB-containing equipment are stored, will be informed about human health and environmental risks associated with these POPs. The information will be assessed to provide a basis for human and environmental risks associated with these POPs (potential action plans for detailed environmental and human health risks might result).
34. Non-governmental organizations and civil society organizations are also among the key stakeholders and the project will take into account their knowledge on and concerns regarding PCBs and DDT within the framework of POPs management in Guatemala. Gathering information related to the facilities using PCBs eventually located close to sensitive areas, wherever possible, is highly relevant to the success of the national POPs inventory and future

interventions related to information exchange and environmentally sound management activities of PCBs.

A.3 Risk. Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (table format acceptable):

RISKS	RISK MITIGATION MEASURES	VALUE
Lack of institutional support for project development	Get involved and support the National Commission on COPs composed by members of the main ministries and government organizations, so they contribute to project development, decision-making and to seek the support from the relevant stakeholders.	M
Fear of owners of PCB and DDT-wastes to accept financial commitments for eliminating them, which generates their lack of interest	During the PPG phase, the establishment of a financial mechanism for replacing PCB-containing electrical equipment will be investigated. The financial measures will be integrated into the PCB-elimination and DDT-disposal strategies. Also, cost-benefit analysis will be developed to help companies make decisions to replace equipment; these will take into account potential liabilities, health and environmental benefits, and possible incentives to be discussed with company managers. During the PPG phase, in-kind and cash contributions will be carefully assessed. Workshops and meetings will be held for owners of potentially PCB-contaminated equipment and PCB-wastes, potential investors, and various donor agencies to help raise the outstanding funds. If the required co-financing cannot be assured, project budget and objectives will be re-considered.	L
Technical staff, particularly those having direct contact with PCB and DDT-wastes will be excessively exposed.	The technical staff will be trained on all safety precautions concerning handling, packaging, transportation and disposal of PCB and DDT-wastes. Protective clothes and equipment will be provided to the technical staff. Waste storage facilities will be properly guarded to prevent non-authorised admittance.	L
PCB and DDT-waste management related legislations and standards will not be adhered to	Frequent inspections will be developed and thorough documentation will be implemented to improve compliance of the legislation framework developed by the project.	L
Environmental contamination through the management and transportation of PCB-containing equipment.	Training will be provided to all technical staff, project personnel and enterprises engaging in PCB management and transportation. Contingency plans will be developed in all stages of POPs waste management.	L
Climate change risks	There will not be significant risks associated with climate change as the technologies chosen will be BAT/BEP, which will exclude the emission of additional CO ₂ or other GHG.	L
Overall rating		L

A.4. Coordination. Outline the coordination with other relevant GEF financed and other initiatives:

35. No post-NIP project nor related POPs project has been implemented in Guatemala since the original NIP submission. However, the project *"Enabling activities to review and update the national implementation plan for the Stockholm Convention on Persistent Organic Pollutants"* is now set to start implementation. Whenever possible information acquired under the NIP update project, e.g. on updating the PCB and DDT inventory, will be used as basis for this MSP.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

B.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAs, NAPs, NBSAPs, national communications, TNAs, NCSAs, NIPs, PRSPs, NPFE, Biennial Update Reports, etc.:

36. The NIP sets four levels of priorities, which are strongly adhered by the project concept and objectives. They aim at the establishment of a legal framework for PCB and DDT within the framework of POPs management; education, training and dissemination activities regarding POPs and strengthening of the institutional capacity through training, sensitization and dissemination components of the project. The BAT/BEP measures and demonstration activities for PCB and DDT-waste disposal are in line with the environmentally sound management of POPs from Annexes A, B and C of the Stockholm Convention.

B.2. GEF focal area and/or fund(s) strategies, eligibility criteria and priorities:

37. The proposed project is consistent with GEF-5 Chemicals FA objective CHEM-1 "Phase out POPs and reduce POPs releases"; Outcome 1.4 "POPs waste prevented, managed and disposed of and POPs contaminated sites managed in an environmentally sound manner"; Output 1.4.1 "PCB management plans under development and implementation". The project focuses on the environmentally sound management (ESM) of POPs and will mobilize funds for investing in safe control, management and disposal of PCBs and PCB-containing equipment and wastes and DDT stocks and wastes in the country.
38. This will help create a sustainable system through the involvement of private companies, public institutions and the general public by providing services for collection, transport, interim storage and final disposal of two POPs under the control of responsible government institutions in accordance with a strengthened legislative framework.

B.3 The GEF Agency's comparative advantage for implementing this project:

39. The project focuses on the technological and capacity-building aspects of POPs waste prevention, management, and disposal, the environmentally sound management of sites contaminated by POPs, and the effective phase out and reduction of releases of POPs, which all fall within Objective CHEM-1 (Phase out POPs and reduce POPs releases) of the GEF-5 strategy for chemicals. In these matters, UNIDO has clear comparative advantages as set out in the corresponding matrix of GEF/C.31/5 rev.1.
40. The proposed project builds upon UNIDO's experience and expertise in providing capacity building and technical assistance in the POPs focal area, specifically on introducing BAT/BEP in

the management of hazardous wastes. The project involves trainings connected to the technology transfer activities in which UNIDO has significant expertise.


41. UNIDO is providing \$90,000 cash contribution as co-financing to the project. This will essentially cover project technical assistance, monitoring of the implementation and evaluation.

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

- A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S):** (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Mrs. Michelle Melisa Martinez Kelly	Minister of Environment and Natural Resources (MERN)	MINISTRY OF ENVIRONMENT AND NATURAL RESOURCES	04/10/2014

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	DATE (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
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