



REQUEST FOR CEO ENDORSEMENT

PROJECT TYPE: Full-sized Project

TYPE OF TRUST FUND: GEF Trust Fund

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PART I: PROJECT INFORMATION

Project Title: Sound Management of POPs Containing Waste in Mexico			
Country(ies):	United Mexican States	GEF Project ID: ¹	5179
GEF Agency(ies):	UNDP (select) (select)	GEF Agency Project ID:	4686
Other Executing Partner(s):	Ministry of Environment and Natural Resources (Secretaría de Medio Ambiente y Recursos Naturales, SEMARNAT)	Submission Date:	2015-01-16 2015-6-29
GEF Focal Area (s):	Persistent Organic Pollutants	Project Duration(Months)	60
Name of Parent Program (if applicable): ➤ For SFM/REDD+ <input type="checkbox"/> ➤ For SGP <input type="checkbox"/> ➤ For PPP <input type="checkbox"/>		Project Agency Fee (\$):	543,400

A. FOCAL AREA STRATEGY FRAMEWORK²

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Cofinancing (\$)
(select) CHEM-1	Outcome 1.3: POPs releases to the environment reduced.	Indicator 1.3 Amount of unintentionally produced POPs releases avoided or reduced from industrial and nonindustrial sectors; measured in grams TEQ against baseline as recorded through the POPs tracking tool.	GEF TF	3,150,000	13,550,000
(select) CHEM-1	Outcome 1.4: POPs waste prevented, managed, and disposed of, and POPs contaminated sites managed in an environmentally sound manner.	Indicator 1.4.2 Amount of obsolete pesticides, including POPs, disposed of in an environmentally sound manner; measured in tons.	GEF TF	1,550,000	5,000,000
(select) CHEM-1	Outcome 1.5: Country capacity built to effectively phase out and reduce releases of POPs	Indicator 1.5.2 Progress in developing and implementing a legislative and regulatory framework for environmentally sound management of POPs, and for the sound management of chemicals in general, as recorded in the POPs tracking tool.	GEF TF	550,000	2,550,000

¹ Project ID number will be assigned by GEFSEC.

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

(select) CHEM-3	Outcome 2: Contribute to the overall objective of the SAICM of achieving the sound management of chemicals throughout their life-cycle in ways that lead to the minimization of significant adverse effects on human health and the environment	Indicator 3.2.1 Countries implement SAICM relevant activities that generate global environmental benefits and report to the International Conference on Chemicals Management	GEF TF	200,000	800,000
(select) CHEM-1	Efficient and effective programme management - Project Management Costs	Indicator 1.3 Amount of unintentionally produced POPs releases avoided or reduced from industrial and nonindustrial sectors; Indicator 1.4.2 Amount of obsolete pesticides, including POPs, disposed of in an environmentally sound manner	GEF TF	270,000	1,200,000
(select) (select)			(select)		
(select) (select)			(select)		
(select) (select)			(select)		
Total project costs				5,720,000	23,100,000

B. PROJECT FRAMEWORK

Project Objective: To minimize impacts on health and the global environment through sound chemicals management and reduction of POPs releases and exposure to POPs from e-waste and pesticides management operations in Mexico.

Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Confirmed Cofinancing (\$)
1.Strengthening institutional and public policies and capacities regarding POPs and sound chemicals management	TA	A) National legal and regulatory framework strengthened to enhance enforcement and compliance capacity for Stockholm Convention (SC) obligations within the country's overall sound chemicals management framework, in particular potential POPs release from e-waste management and pesticides	A1) Legal review, gap analysis and economic instruments reviewed in the context of the national sound chemicals management policies and activities for potential POPs release from e-waste management and pesticides A2) Regulatory amendments prepared, including enabling of relevant economic instruments applicable to sound chemicals management for potential POPs release	GEF TF	200,000	800,000

			<p>from e-waste management and pesticides</p> <p>A3) Training on inspection for new POPs substances and products containing new POPs at state level conducted for potential POPs release from e-waste management and pesticides</p> <p>A4) Analytical and monitoring capacities and protocols at Customs and chemicals labs enhanced for potential POPs release from e-waste management and pesticides</p> <p>A5) Sustainable capacity to support SC reporting and information exchange obligations in place for potential POPs release from e-waste management and pesticides</p>			
2. Reduction of POPs releases from e-waste processing at State and waste processors levels	TA	B) Development of State Pilot level e-waste management plans, specifically related to POPs contained in e-waste, in three States: Baja California, Jalisco and Federal District of Mexico City and projection to entire country	<p>B1) Proposal of legal amendments at State level developed for potential POPs release from e-waste management and pesticides</p> <p>B2) Documented assessment of economic instruments and recommendations on fostering the sustainable financing of sound management of e-waste prepared, including development of WEEE stewardship levies, supported by full lifecycle</p>	GEF TF	3,250,000	13,750,000

			<p>accounting and cost studies</p> <p>B3) State and national level inventories of e-waste generation, associated mass flow balances and analytical estimates of POPs content and potential unintentional releases developed</p> <p>B4) Three (3) State level pilot management plans developed, for States of Baja California, Jalisco and Federal District of Mexico City developed, implemented and evaluated</p> <p>B5) Outreach strategy designed and implemented, including a communication and awareness program for general public and state level governments and intended to overcome barriers to recycling of e-waste rather than stockpiling, randomly disposing of them or directing them to unsound processing</p> <p>B6) E-waste training strategy developed, implemented and evaluated, including e-waste management guidelines for best practices for e-waste collection, separation and disposal in municipalities and recycling enterprises to deliver environmentally sound processing</p> <p>B7) Characterization of</p>			
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		<p>C) Demonstration of POPs e-waste release minimization in formal recycling and informal recycling of e-waste settings</p>	<p>nationwide recycling industry documented, registration and certification system established</p> <p>B8) Nationwide e-waste exchange linking waste streams and safe processors established</p> <p>C1) Demonstration pilots involving application BAT/BEP in at least two formal recycling facilities developed and implemented with emphasis on separating BFRs from e-waste streams</p> <p>C2) Demonstration pilots in at least two informal recycling facilities developed and implemented with the objective to bring the chosen operations up to an environmentally sound operational and compliance level</p> <p>C3) Feasibility study conducted with design of a pilot integrated recycling facility incorporating international best practices completed, with possible investment of a proponent private sector partner</p>			
3.Reducing risks through elimination of POPs pesticides stockpiles and wastes	TA	D) Provincial POPs Pesticides Waste Management Plan establishment and tested in selected provinces	<p>D1) Updated detailed inventory of remaining POPs pesticide stockpiles and associated waste and analytical estimates of POPs prepared</p> <p>D2) Inventory verified</p>	GEF TF	1,500,000	5,000,000

			<p>and complemented, initial prioritization screening, and risk assessment of POPs pesticide contaminated sites produced, including training on site assessment for relevant government officials and service providers</p> <p>D3) Waste Management Plan from identification through to destruction for pesticides designed and tested at state pilot scale</p>			
		<p>E) Substantial elimination of remaining POPs pesticide stockpiles and POPs wastes in Mexico</p>	<p>E1) Qualification of cost effective commercial options for the environmentally sound destruction of POPs pesticide stockpiles and wastes consistent with international standards</p> <p>E2) Environmentally sound destruction of at least 400 tons and up to 1,200 tons of POPs pesticide stockpiles and waste completed</p> <p>E3) Feasibility study of present processes for recycling of pesticide used containers conducted</p>			
		<p>F) Containment / Remediation Plan of priority POPs pesticide contaminated sites and national programme to address remaining sites</p>	<p>F1) Detailed remediation plans on up to 3 priority POPs pesticide contaminated sites developed</p> <p>F2) First phase remediation plans for up to 10 POPs pesticide contaminated sites</p>			

			developed F3) National program for ongoing management of POPs pesticide contaminated sites developed and adopted			
4. Obsolete pesticide management capacity strengthening	TA	G) Institutional strengthening at provincial level for obsolete pesticides management delivered	<p>G1) Assessment of national institutional capacities for establishment of obsolete pesticide management plans undertaken</p> <p>G2) Outreach and training programme on obsolete pesticide management developed for pesticide end-users, waste management service providers, and law enforcement government officers</p> <p>G3) National pesticide waste management guidelines updated</p> <p>G4) State and municipal level obsolete pesticide and used containers collection programme reviewed and changes implemented</p> <p>G5) National replication program for sustainable obsolete pesticide management developed.</p>	GEF TF	350,000	1,750,000
5. Monitoring and Evaluation	TA	H). Monitoring, learning, adaptive feedback, outreach, and evaluation	<p>H1) M&E and adaptive management applied to project in response to needs, mid-term evaluation findings with lessons learned extracted and shared</p> <p>H2) Lessons learned and best practices are</p>	GEF TF	150,000	600,000

			disseminated at national level.			
	(select)			(select)		
	(select)			(select)		
	(select)			(select)		
Subtotal					5,450,000	21,900,000
Project management Cost (PMC) ³				GEF TF	270,000	1,200,000
Total project costs					5,720,000	23,100,000

C. SOURCES OF CONFIRMED COFINANCING FOR THE PROJECT BY SOURCE AND BY NAME (\$)

Please include letters confirming cofinancing for the project with this form

Sources of Co-financing	Name of Co-financier (source)	Type of Cofinancing	Cofinancing Amount (\$)
National Government	SEMARNAT, SAGARPA	In-kind	10,200,000
Local Government	Baja California, DF Mexico City, Jalisco	In-kind	2,083,750
Private Sector	AMOCALI, UMFAAC, OEMs, large importers, distributors, enterprises, service enterprises, recyclers, metallurgical enterprises	Investment	7,300,000
Other Multilateral Agency (ies)	UNDP	In-kind	55,000
			500,000
To be confirmed during	Implementation (TV replacement prog.)	Investment	3,461,250
Total Co-financing			23,100,000

D. TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

GEF Agency	Type of Trust Fund	Focal Area	Country Name/ Global	(in \$)		
				Grant Amount (a)	Agency Fee (b) ²	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
Total Grant Resources				0	0	0

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.

F. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

³ PMC should be charged proportionately to focal areas based on focal area project grant amount in Table D below.

Component	Grant Amount (\$)	Cofinancing (\$)	Project Total (\$)
International Consultants	22,500	94,500	117,000
National/Local Consultants	1,074,250	3,863,700	4,937,950

G. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? No

(If non-grant instruments are used, provide in Annex D an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

PART II: PROJECT JUSTIFICATION

A. DESCRIBE ANY CHANGES IN ALIGNMENT WITH THE PROJECT DESIGN OF THE ORIGINAL PIF⁴

- A.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAS, NBSAPs, national communications, TNAs, NCSA, NIPs, PRSPs, NPFE, Biennial Update Reports, etc. N/A
- A.2. GEF focal area and/or fund(s) strategies, eligibility criteria and priorities. N/A
- A.3 The GEF Agency's comparative advantage: N/A
- A.4. The baseline project and the problem that it seeks to address: N/A
- A. 5. Incremental /Additional cost reasoning: describe the incremental (GEF Trust Fund/NPIF) or additional (LDCF/SCCF) activities requested for GEF/LDCF/SCCF/NPIF financing and the associated global environmental benefits (GEF Trust Fund) or associated adaptation benefits (LDCF/SCCF) to be delivered by the project: N/A
- A.6 Risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and measures that address these risks: N/A
- A.7. Coordination with other relevant GEF financed initiatives

This project will complement efforts started in 2006 with the initial POPs Pesticide inventory as well as study on e-waste streams in Mexico were developed. The inventories should be improved, expanded and done at a much higher level of detail to provide much needed information for the sound management of Hazardous materials.

The project will catalyze efforts to meet commitments under the Stockholm Convention that are presented in the National Implementation Plan, which include the total elimination of existing stocks of POPs pesticides, and improve existing POPs pesticide inventories to get an overview of the overall problem with POPs pesticides in Mexico as well as with the recently listed new POPs.

Currently public and private companies have been elaborating Environmental Management Plans, but additional needs to be done to improve the current scheme.

Mexico is currently implementing the GEF funded POPs project "Environmentally Sound Management and destruction of PCBs in Mexico". The project has successfully improved the management practices of PCB containing equipment. Legal, normative and policy framework has been updated and enforcement capacity has been improved. A substantial quantity of PCBs (liquids and solids) has already been disposed of. The experience related to the improved management of PCBs is clearly relevant for this proposal, and large synergies between the two projects are expected to happen.

To disseminate lessons learned during the project activities will be coordinated with similar UNDP projects being implemented in countries throughout the region and globally. This cooperation happens through electronic means but also at meetings. Additionally, there are experiences in other regions where UNDP has provided technical and financial assistance for proper management and elimination of POPs pesticides, like in Nicaragua and Vietnam, and the experiences from newly approved PIF on e-waste management in China will also be built into this programme, and future exchanges of lessons learned and good practices is expected.

In addition, the project will explore triangular cooperation with two countries (China and US) in complementary and cooperative activities to promote activities that lead to reduction of emission from e-waste.

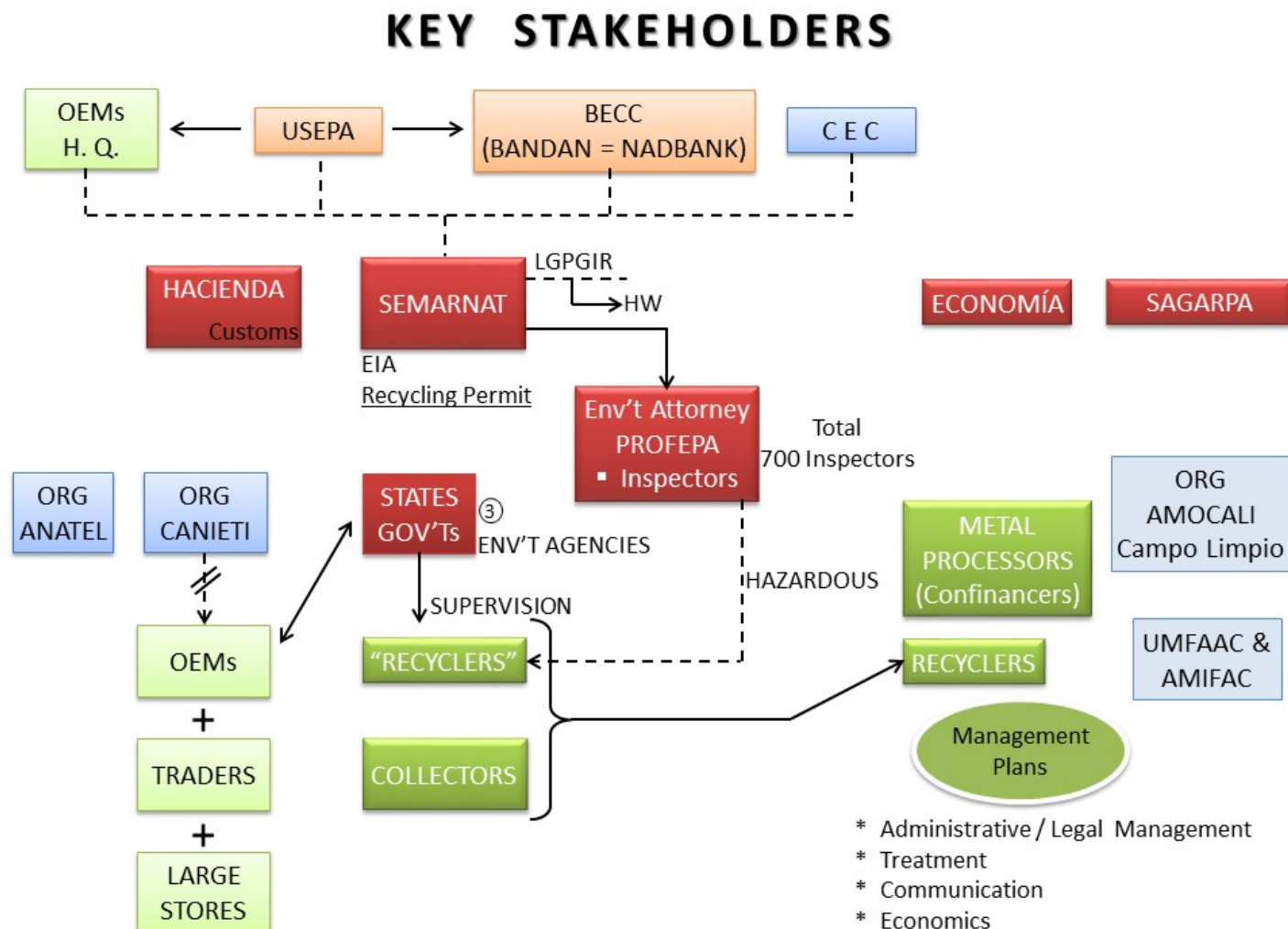
B. ADDITIONAL INFORMATION NOT ADDRESSED AT PIF STAGE:

B.1 Describe how the stakeholders will be engaged in project implementation.

The implementation of this project will involve a wide range of stakeholders. The roles and responsibilities of the various key stakeholders directly involved in project implementation are described below:

⁴ For questions A.1 –A.7 in Part II, if there are no changes since PIF and if not specifically requested in the review sheet at PIF stage, then no need to respond, please enter "NA" after the respective question.

Figure below shows a detailed list of key stakeholders and the interaction among them:



Note to Stakeholders Diagram

OEM: Original equipment manufacturer
 USEPA: United States Environmental Protection Agency
 BECC: Border Environment Cooperation Commission
 CEC: Commission for Environmental Cooperation
 Hacienda: Ministry of Treasury
 SEMARNAT: Ministry of Environment and Natural Resources
 ECONOMIA: Ministry of Economy
 SAGARPA: Ministry of Agriculture
 PROFEPA: Federal Environmental Attorney
 ANATEL: National Association of Telecommunications
 CANIETI: National Chamber of Electronic Telecommunication and Information Technologies Industry
 States Governments
 AMOCALI: Organization of Agrochemicals Producers and Traders

Top line stakeholders in Figure above are internationally based organizations that may be co-financers with concurrent projects, except for OEMs which are multinational enterprises that can also play an important role in the definition of their national branches to participate in project.

Second line stakeholders, Hacienda and Economia, are the Ministries of Treasury (Customs) and Economy, which may co-finance also with existing programmes on the implementation of pilots of SMEs in the formal and informal sectors recyclers

Major Key Stakeholders and their role in project implementation is described in the table below:

Stakeholders	Project Implementation Role
SEMARNAT	Coordination of all activities, since waste management falls within its jurisdiction, is a focal point of the Stockholm Convention
SAGARPA	Support in the implementation of components 3 and 4, is the Ministry that runs the programmes of collection of pesticides used containers and has information on pesticide contaminated sites. Key in co-financing these components
Amocali (Campo Limpio)	Is an association of the main companies that produce and distribute pesticides in Mexico. It gathers AMIFAC and UMFAAC, which are two organizations of enterprises that produce and distribute pesticides; they will provide support in the identification and inventory of obsolete pesticides stocks and provide co-financing to Components 3 and 4.
Governement of States	Key allies to implement management plans for both wastes. They have within their jurisdiction “Special Management Waste” (for e-waste) and have information as to the pesticides contaminated sites. Provide co-financing to Components 2, 3 and 4.
OEMs, Recyclers and Metallurgical extractive industries	Allies in the implementation of pilot demonstration projects. Key actions in the co-financing of Components 2, 3 and 4, and the National Replication Programme
Community-based groups, particularly infomal sector collectors and recyclers	Key groups for ensuring that the ameliorated management practices are adopted throughout value chain. Recipients of training and dissemination of best practices. Consulted and integrated in the overall recycling value chain for ensuring inclusiveness and sustainability.
Anatel, Carnieti and Amocali	They are the 3 key organizations of manufacturers and sellers of cellular phones, electronics goods in general and pesticides, respectively. They will be responsible for Management Plan development
United Nations Development Programme (UNDP-Mexico)	UNDP-Mexico is the Project Implementing Agency that works to overcome poverty and promote sustainable development in Mexico. UNDP-Mexico offers guidance, technical support, management tools, and theoretical and practical knowledge to national- and regional-level institutions to aid in implementing public policies, initiatives, and projects intended to overcome poverty. UNDP will support substantive project development and will make its installed capacity available to the Project, guaranteeing the accountability of the project.

Since early stage of project formulation, the PPG phase, and during project document preparation, consultation sessions have been conducted with the Implementing Partner, SEMARNAT, the International Implementing Agency, UNDP, and key stakeholders to exchange experience and knowledge to facilitate effective project formulation and design where stakeholders’ interest and influence were assessed. SEMARNAT also undertook consultative missions to evaluate States, municipalities, cities and enterprises to explore their engagement in participating in project activities and for their commitments to contribute co-financing to the project, as well as to evaluate candidates for demonstration locations and demonstration enterprises, including evaluation of different environmentally friendly e-waste recycling technologies and environmentally sound destruction of obsolete pesticide stockpiles.

All these consultation, cooperation and coordination efforts have proven effective during project design and formulation, and the well-established mechanism will continue to be used, and the interest and influence of the key stakeholders will be taken into full consideration during project implementation to generate efficient and effective stakeholder engagement. Key stakeholders that were involved during the project formulation and PPG stages will

continue to be engaged and consulted during project implementation in contributing to the smooth and coordinated implementation of project activities of all the components of the project, generating benefits to the project with application of the knowledge and expertise of these key stakeholders/project participants, to ensure timely achievement of project objectives and outcomes..

Consultations and coordination have been effectively conducted with some bilateral donors on related e-waste and POPs pesticide activities. This will be useful in the provision of international experience and knowledge exchanges during project implementation. International consultants will be recruited to provide technical assistance on the application of international experience and best available technologies. National consultants will be engaged and will interact with international consultants and key stakeholders to ensure their active participation and to take advantage of their knowledge and expertise for application of appropriate technologies and practices and timely implementation progress.

SEMARNAT will interact and consult with all relevant ministries, industrial associations, private sector enterprises to facilitate necessary amendment of legislative measures and standards, to promote environmentally sound management of e-waste and sound destruction of obsolete pesticide stockpiles, time establishment of management plans, and effective enforcement actions, and to follow up on co-financing commitments with the private sectors, and bilateral and multilateral donors.

B.2 Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF):

Adequate Hazardous Waste Management in Mexico is a necessary condition for the wellbeing of its people in general, but especially for those whose daily activities require being exposed to these substances. This includes e-waste collectors and recyclers at waste dumps, agricultural workers, and people working in formal recycling industries. Decreased exposure will result in economic benefits for public health systems; will reduce health care costs, workdays lost, and human suffering.

Furthermore, the lack of adequate management presents an enormous biological risk from water or soil pollution that can damage biodiversity resources and ecosystems of global importance.

The overall socioeconomic benefit of the project is derived from the elimination of POPs releases from e-waste and the environmental destruction of POPs pesticide stockpiles that are having significant negative impacts on biological resources, inclusive of human health. The associated risk reduction at both a local and national level will positively impact the productivity of populations and reduce the financial burden imposed by potentially degraded public health, as well as contributing to general wellness, economic development and quality of life. This is particularly true for vulnerable parts of the population and for maternal health that would be improved by reduced POPs exposure.

More specific socioeconomic benefits from the project are associated with its proactive approach to integrating the informal sector into an environmentally sound chemicals management in e-waste processing. The informal sector generally involves low income sectors of the population who currently undertake the polluting informal processing of WEEE, essentially in their home environments with the significant health effects on all ages and genders in close proximity. The transition of collection, dismantling and primary processing activities to appropriately sited and equipped locations supported by collective environmentally sound infrastructure and operating with appropriate workplace standards will positively change this situation, as well as better assuring an equitable distribution of revenues for labour provided.

With the introduction of national and state level management plans in e-waste and obsolete pesticides, and the national replication programme, this will provide a mechanism to mitigate historical environmental and health aspects, to generate a sustainable socioeconomic benefit.

With the advance in development of new recycling plants, since they are in general labour intensive, the projection of the facilities that will be needed will generate 5,000 to 10,000 direct jobs, including all the product and waste chain.

The recycling and processing of 500,000 tons of e-waste will recover resources, and therefore produce economic benefits for the recycling facilities and subsequently the country in terms of increased tax revenue.

B.3. Explain how cost-effectiveness is reflected in the project design:

The extensive exchange and consultation during project design and formulation with all relevant key stakeholders is key to ensure cost-effective use of GEF resources, project activities have been carefully designed, reviewed and appropriately budgeted to ensure maximum resource utilization. This is particularly true for the e-waste demonstration activities as the demonstration locations, the demonstration enterprises, the potential application of international experience and best available technologies to be selected had gone through elaborated review, where the management and technological capacities have been extensively assessed and evaluated, with project budgets appropriately allocated. Extensive consultation process has also been conducted with potential federal, state and municipality partners to solicit their interest, assess their capacity to ensure subsequent project implementation can be carried out efficiently and effectively. For obsolete pesticide stockpiles, inventory taking will be carried out during project implementation to undertake detailed identification of the locations and quantities in order to design appropriate strategies and economy of scale to achieve the most cost-effective destruction actions. Extensive consultations have been made during the PPG and project formulation and design phases with governmental and pesticide producers and associations to solicit their interest and to promote their participation to guarantee smooth and timely implementation of project activities.

Cost-effectiveness in project design can be evidenced by the amount, \$23.1 million, of co-financing being committed by the Government, industrial associations, bilateral and multilateral donors, in particular, the significant co-financing by the private sector towards Components 2, 3 and 4 of the project, as indicated in the table included in Section B1 above. This reflects strong commitment of the national and local governments, the private enterprises and the international communities, to see the issues of e-waste and obsolete pesticide stockpiles in Mexico being addressed in an environmentally sound manner, with the application of BAT/BEP through inputs of international knowledge and experience to eliminate major POPs/PTS releases. The development of management plans at federal, State and municipal level will ensure the sustainability of the reduction in UOPs emission, as well as minimizing the risks of exposure to pesticides,

Communication and coordination with donor and international agencies working on similar interventions have been established to ensure there are no overlaps of activities and full advantage of beneficial synergies are taken. This is especially important as one of the major activities is the infusion of international experience and knowledge on BAT/BEP.

Project activities have been carefully reviewed and designed to take full advantage of the project cycle, to ensure that project activities can be timely completed to achieve project objectives and outcomes. In addition to the modest level of technical support from international consultants, the project engaged a significant number of national consultants and sub-contractors to undertake implementation of project activities, with guidance and technical support from international consultants and technology providers, thus ensuring significant costs savings, yet fully benefiting from international experience and practices.

As outlined in Section 2.6 - Baseline Project in the project document, GEF grant is carefully allocated and efficiently utilized to general maximum effectiveness, as summarized below:

Component 1: Strengthening Institutional and public policies and capacities regarding POPs and sound chemicals management.

Activities A1) and A2), GEF funding will be used ensuring that decisions taken are done through well researched options based on best available international experiences and approaches, and specifically supports the integration of these national efforts ensuring that Stockholm Convention chemicals and their releases are given due priority within the national SCM framework.

Activities A2), A3) and A4), GEF grant will ensure that the training goals, trainers and training materials will cover key issues to manage POPs release reduction in targeted areas and facilitate the transfer of international experience and resources to these activities that otherwise might not occur.

Activity A5), GEF support will provide modest advisory and facilitation resources to expedite this work in a timely fashion.

Component 2: Reduction of POPs releases from e-waste processing at State and waste processor levels

GEF funding will ensure this incremental step in e-waste processing is provided for through both introduction of relevant BAT/BEP and using modest GEF grant funding to leverage the required national investment. GEF grant will also showcase incremental improvements in environmental performance and workplace health and safety practice through reorganization and investment in targeted high POPs, and heavy metal, releasing operations. The grant will also focus on making sure that the results are sustainable, comprehensive and aligned with progress on the use globally.

Component 3. Reducing risks from POPs Pesticides stockpiles and wastes

GEF incremental support will offer the careful and thorough identification of POPs pesticide stockpiles and wastes inventory and establishment of Waste Management Plan to ensure consistency and timely implementation, and that substantial disposal action will be properly coordinated, and undertaken based within limits of time-lines given in the State management plans as well as national, state and private holder budget. GEF grant will also serve to provide the focus on containment and remediation of contaminated sites through assisting in directing national and private sector resources to the high profile POPs pesticide contaminated site issues and approaches on how these can be best managed and remediated.

Component 4. Obsolete pesticide management capacity strengthening

GEF funding will ensure that sound pesticide use and management including best practices of proper storage and disposal, and will stimulate the extension of the well established stewardship and EPR public-private initiatives operating with other NAFTA countries to Mexico.

Component 5. Project monitoring and evaluation

GEF funding will assure that international M&E practices associated with GEF projects would be exercised to ensure proper management of GEF resources and activities, with dissemination of project results, experience gained and lesson learned at the national and international level.

Component 6. Project Management

GEF funding will ensure organized infrastructure and strengthened capacity is in place to efficiently manage and monitor project activities, to achieve smooth and timely implementation, and eventual achievement of project objectives and outcomes.

C. DESCRIBE THE BUDGETED M & E PLAN:

The project will be monitored through the following M& E activities. The M& E budget is provided in the table below.

Project start: The project will be officially launched no later than three months after approval of the GEF CEO of this full-size project. This will include the Project Inception Workshop with participation of those personnel with assigned roles in the project organization structure, UNDP Country Office (CO) and where appropriate/feasible, Regional Technical Policy and Programme Advisors as well as other key stakeholders. The Inception Workshop is crucial to building ownership for the project results and to plan the first year annual work plan.

The Inception Workshop will address a number of key issues including: (a) Assist all partners to fully understand and take ownership of the project; (b) Detail the roles, support services and complementary responsibilities of UNDP CO and Regional Service Center (RSC) staff vis-à-vis the project team; (c) Discuss the roles, functions, and responsibilities within the project's decision-making structures, including reporting and communication lines, and conflict resolution mechanisms; (d) The Terms of Reference (TOR) for project staff will be discussed again as needed; (e) Based on the project results framework and the relevant GEF Tracking Tool if appropriate, finalize the first annual work plan. Review and agree on the indicators, targets and their means of verification, and recheck assumptions and risks; (f) Provide a detailed overview of reporting, M&E requirements. The M&E work plan and budget should be agreed and scheduled; (g) Discuss financial reporting procedures and obligations, and arrangements for annual audit; (h) Plan and schedule Project Steering Committee (PSC) meetings. Roles and responsibilities of all project organization structures should be clarified and meetings planned. The first PSC meeting should be held within the first 2 months following the Inception Workshop.

An Inception Workshop report is a key reference document and must be prepared and shared with participants to formalize various agreements and plans decided during the meeting.

Project Implementation Workplan: Immediately following the Inception Workshop, the project will be tasked with generating a strategic workplan. The workplan will outline the general timeframe for completion of key project outputs and achievement of outcomes. The workplan will map and help guide project activity from inception to completion. To ensure smooth transition between project design and inception, the Inception Workshop and work planning process will benefit from the input of parties responsible for the design of the original project, including as appropriate relevant technical advisors.

Quarterly: Progress made shall be monitored in the UNDP Enhanced Results Based Management Platform. Based on the initial risk analysis submitted, the risk log shall be regularly updated in ATLAS. Risks become critical when the impact and probability are high. Based on the information recorded in Atlas, a Project Progress Report (PPR) can be generated in the Executive Snapshot. Other ATLAS logs can be used to monitor issues, lessons learned etc. The use of these functions is a key indicator in the UNDP Executive Balanced Scorecard.

Annually (Annual Project Review/Project Implementation Reports (APR/PIR)): This key report is prepared to monitor progress made since project start and in particular for the previous reporting period (30 June to 1 July). The APR/PIR combines both UNDP and GEF reporting requirements.

The APR/PIR includes, but is not limited to, reporting on the following: (a) Progress made toward project objective and project outcomes - each with indicators, baseline data and end-of-project targets (cumulative); (b) Project outputs delivered per project outcome (annual); (c) Lesson learned/good practice; (d) AWP and other expenditure reports; (e) Risk and adaptive management; (f) ATLAS QPR; (g) Portfolio level indicators (i.e. GEF focal area tracking tools) are used by most focal areas on an annual basis as well.

Periodic Monitoring through site visits: UNDP CO and the RSC will conduct visits to project sites based on the agreed schedule in the project's Inception Report/Annual Work Plan to assess first hand project progress. Other members of the PSC may also join these visits. A Field Visit Report/BTOR will be prepared by the CO and UNDP RSC and will be circulated no more than one month after the visit to the project team and PSC members.

Mid-term of project cycle: The project will undergo an independent Mid-Term Review during mid-point of project implementation (project months 28 – 29). The Mid-Term Review will determine progress being made toward the achievement of outcomes and will identify course correction if needed. It will focus on the effectiveness, efficiency and timeliness of project implementation; will highlight issues requiring decisions and actions; and will present initial lessons learned about project design, implementation and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project's term. The organization and terms of reference of the mid-term review will be decided after consultation between the parties to the project document. The TOR for this Mid-term Review will be prepared by the UNDP CO based on guidance from the RSC and UNDP-GEF. This independent expert will be recruited at least six months prior to the planned commencement of the Mid-Term Review. The management response and the review will be uploaded to UNDP corporate systems, in particular the UNDP Evaluation Office Evaluation Resource Center (ERC). The relevant GEF Focal Area Tracking Tools will also be completed during the mid-term review cycle.

End of Project: An independent Final Evaluation will take place three months prior to the final PSC meeting and will be undertaken in accordance with UNDP and GEF guidance. The final evaluation will focus on the delivery of the project's results as initially planned (and as corrected after the Mid-Term Review, if any such correction took place). The final evaluation will look at impact and sustainability of results, including the contribution to capacity development and the achievement of global environmental benefits/goals. The TOR for this evaluation will be prepared by the UNDP CO based on guidance from the RSC and UNDP-GEF.

The *Final Evaluation* should also provide recommendations for follow-up activities and requires a management response which should be uploaded to PIMS and to the UNDP Evaluation Office Evaluation Resource Center (ERC). The relevant GEF Focal Area Tracking Tools will also be completed during the final evaluation.

During the last three months, the project team will prepare the Project Terminal Report. This comprehensive report will summarize the results achieved (objectives, outcomes, outputs), lessons learned, problems met and areas where results may not have been achieved. It will also lay out recommendations for any further steps that may need to be taken to ensure sustainability and replicability of the project's results.

Learning and knowledge sharing: Results from the project will be disseminated within and beyond the project intervention zone through existing information sharing networks and forums. The project will identify and participate, as relevant and appropriate, in scientific, policy-based and/or any other networks, which may be of benefit to project implementation through lessons learned. The project will identify, analyze, and share lessons learned that might be beneficial in the design and implementation of similar future projects. Finally, there will be a two-way flow of information between this project and other projects of a similar focus.

M& E Workplan and Budget

Type of M&E activity	Responsible Parties	Budget US\$ <i>Indicative cost, excluding project team staff time</i>	Time frame
Inception Workshop and Report	<ul style="list-style-type: none"> National Project Coordinator (NPC) UNDP CO, UNDP RSC 	10,000	Within first two months of project start up
Measurement of Baseline Indicators and Means of Verification of project results	<ul style="list-style-type: none"> UNDP/SEMARNAT/PCU will oversee the hiring of specific studies and institutions, and delegate responsibilities to relevant team members. 	22,500	Start, mid and end of project (during evaluation cycle) and annually when required.
Measurement of Means of Verification for Project Progress on <i>output and implementation</i>	<ul style="list-style-type: none"> Oversight by NPC Project team 	22,500	Annually prior to ARR/PIR and to the definition of annual work plans
ARR/PIR	<ul style="list-style-type: none"> PCU UNDP CO UNDP RSC 	None	Annually
Periodic status / progress reports	<ul style="list-style-type: none"> PCU 	None	Quarterly
Project Steering Committee Meetings	<ul style="list-style-type: none"> NPC UNDP CO 	None	Following Project IW and subsequently at least Quarterly
Technical Advisory Committee Meetings	<ul style="list-style-type: none"> NPC UNDP CO UNDP RSC 	5,000	Annually
Mid-term Review	<ul style="list-style-type: none"> PCU UNDP CO UNDP RSC External Consultants (i.e. review team) 	30,000	At the mid-point of project implementation.
Final Evaluation	<ul style="list-style-type: none"> PCU UNDP CO UNDP RSC External Consultants (i.e. evaluation team) 	30,000	At least three months before the end of project implementation
Project Terminal Report	<ul style="list-style-type: none"> PCU UNDP CO local consultant 	0	At least three months before the end of the project
Audit	<ul style="list-style-type: none"> UNDP CO PCU 	15,000	Annually
Lessons Learned	<ul style="list-style-type: none"> Project team UNDP-CO UNDP-RSC 	10,000	Annually and at end of project
Visits to field sites (UNDP staff travel costs to be charged to IA fees)	<ul style="list-style-type: none"> UNDP CO UNDP RSC (as appropriate) Government representatives 	5,000	Annually
TOTAL indicative COST (Excluding project team staff time and UNDP staff and travel expenses)		US\$ 150,000	


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 form. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Margarita Perez Villaseñor	GEF Operational Focal Point, Mexico	MINISTRY OF FINANCE AND PUBLIC CREDIT	09/26/2012

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 CEO endorsement/approval of project.

Agency Coordinator, Agency Name	Signature	Date (Month, day, year)	Project Contact Person	Telephone	Email Address
Adriana Dinu, Executive Coordinator, UNDP-GEF		01/16/2015	Jacques Van Engel, Director, MPU/Chemicals	1-212-906-5782	jacques.van.engel@undp.org

ANNEX A: PROJECT RESULTS FRAMEWORK.

The Project Results Framework is presented below and in Section 3 of the Project Document (page 29-37)

This project will contribute to achieving the following Country Programme Outcome as defined in the CPD: CDP (2014-2018) “Promoted risk disaster and low-emission, resilient and environmentally sustainable development strategies, with a gender and multicultural approach for poverty reduction and equity.” (Those linked to the project and extracted from the country programme document)					
Country Programme Outcome Indicators: Direct effect 6. Environmental sustainability and green economy. All three levels of government, the private sector, academia and civil society will have strengthened their capacities to reverse environmental deterioration, and to sustainably develop natural resources through mainstreaming environmental sustainability, low emissions development, and green economy in the legislative, programming and decision making processes					
Primary applicable Key Environment and Sustainable Development Key Result Area: Area of Work 1: Sustainable development pathways. Scalable initiatives on sustainable productive capacities					
Project Title and ID (ATLAS Award ID): Sound Management of POPs Containing Waste in Mexico					
Applicable GEF Strategic Objective and Program: CHEM-1: Phase out POPs and reduce POPs releases					
Applicable GEF Expected Outcomes: Outcome 1.3 POPs releases to the environment reduced; Outcome 1.4 POPs waste prevented, managed, and disposed of, and POPs contaminated sites managed in an environmentally sound manner					
Applicable GEF Outcome Indicators: Indicator1.3.1 Amount of unintentionally produced POPs releases avoided or reduced from industrial and nonindustrial sectors; measured in grams TEQ against baseline as recorded through the POPs tracking tool; Indicator1.4.2 Amount of obsolete pesticides, including POPs, disposed of in an environmentally sound manner; measured in tons					
	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
Project Objective To minimize impacts on health and the global environment through sound chemicals management and reduction of POPs releases and exposure to POPs from e-waste and pesticides management operations in Mexico	National legal and regulatory framework reviewed, analyzed, amended to enhance enforcement and compliance with overall sound chemicals management, in particular, e-waste and pesticides management	Regulatory and legal framework not matching country's obligations under international conventions Limited awareness on environmentally sound chemicals management	Regulatory and legal , economic instruments reviewed, analyzed, and amendment process initiated to reflect an overall Sound Chemicals Management framework and to align with Stockholm and Basel Conventions Relevant government officials, private sectors, end-users trained and awareness raised	Draft amended regulatory, legal and economic instruments Progress on regulatory and legal modification process Training programmes and materials Training reports Survey on awareness	Risks: <ul style="list-style-type: none"> - Amendment of regulatory and legal framework process may take long time for adoption - None or low cooperation from defined States - Electronic OEMs not interested - PROFEPA may not enforce control on POPs - Spread of POPs spread through increased climate change induced extreme weather
	Grams TEQ of UPOPs emission reduced Development of State level e-waste management plans	Maximum potential generation of dioxins and furans with a range of 246.68 and 287.51 g TEQ./year	Demonstration pilot projects undertaken with application of BAT/BEP to improve e-waste collection and segregation mechanisms and dismantle and final disposal technologies 42 g TEQ/year POPs release	Progress report sand project completion reports Completion reports	Assumption: <ul style="list-style-type: none"> - Consultations emphasizing on development of regulative works at beginning of project implementation, with concrete proposals and close follow-up actions - Firm commitments through stakeholders consultations and

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
			minimized in formal and informal recycling of e-waste	Technical reports from demonstrations	co-financing commitments - Promote awareness on environment, human health and corporate social responsibilities. National distributors lagging commitment can possibly be supported and reinforced through interventions from international headquarters of OEMs - As results of gap analysis on regulatory and legal measures, concrete proposals and action plans will be developed to support and facilitate coordination and enforcement efforts of various authorities - Risk of exposure to POPs (pesticides) will be reduced by eliminating known existing stockpiles in the country. Management Plans developed will ensure proper warehousing condition until final disposal in environmentally sound manner
	Inventory (quantity and locations) of obsolete pesticides finalized Tons of obsolete pesticides destroyed (per compound) and mode of destruction (tons and costs/ton)	307.56 tons obsolete pesticides identified at last official update in March 2012, and could be up to 1,200 tons	Accurate and detailed inventory on obsolete pesticides stockpiles Environmentally sound destruction of at least 400 tons of confirmed inventory of obsolete pesticides, and may lead to elimination of 1,200 tons pending findings of an updated inventory during project implementation	Updated inventory report Progress reports and destruction reports	
	Provincial Management Plans for obsolete pesticides established	None exists	Pesticide contaminated sites identified, and environmentally sound containment and remediation actions taken at priority contaminated sites Provincial Management Plans established, implemented and evaluated at three states: Chiapas, Sinaloa and Jalisco	Inventory of contaminated sites report 3 containment and remediation plans Management Plan documents	
Component 1: Strengthening institutional and public policies and capacities regarding POPs and sound chemicals management					
Outcome A): National legal and regulatory framework strengthened to enhance enforcement and compliance capacity for Stockholm Convention (SC) obligations within the country’s overall sound chemicals management framework, in particular potential POPs release from e-waste management and pesticides	Expected Outputs: A1) Legal review, gap analysis and economic instruments reviewed in the context of the national sound chemicals policies and activites for potential POPs release from e-waste management and pesticides. A2) Regulatory amendments prepared. A3) Training on inspection for new POPs substances and products containing new POPs at state level conducted. A4) Analytical and monitoring capacities of federal inspectors, Customs and chemicals labs enhanced. A5) Sustainable capacity to support SC reporting and information exchange obligations in place.				
	Strengthened regulatory and legislative framework	Not integrated with sound chemicals management framework	Regulatory and legal amendments in progress in the Mexican Law for Hazardous Waste and its Regulations to align with international conventions, in particular, Stockholm and Basel Conventions	Amended legislative measures Progress of legislative process	Risks: - Regulatory and legal amendment takes long time for adoption - Lack of interest of PROFEPA and other officials to cooperate to enforce control of POPs

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
	Training at State level on inspection of POPs substances and products containing new POPs	None implemented	200 Federal (PROFEPA and Customs officers) and state inspectors trained	Training materials and training reports	<u>Assumption:</u> <ul style="list-style-type: none">- Amended regulations and integration with an overall SCM framework will facilitate better coordination between authorities for management of pesticides and e-waste- Legal gap analysis will encourage action plan to be developed to support coordination and enforcement efforts of various authorities
	Analytical and monitoring capacities of federal inspectors, Customs and chemical labs enhanced	None implemented	100 federal inspectors, Customs officers and chemical laboratory personnel trained and capacity strengthened	Training materials and training reports	
	Sustainable capacity to support Stockholm Convention reporting and information exchange	Limited activities	Enhanced Stockholm Convention reporting and information exchange; participation in Global POPs Monitoring Network and Mexico taking leadership role in its regional network	Stockholm Conversion reports and information exchange. Meeting reports	
Component 2: Reduction of POPs releases from e-waste processing at State and waste processor levels					
Outcome B): Development and implementation of State pilot level e-waste management plan in three States:Baja California, Jalisco and Federal District of Mexico City and projection to entire country	Expected Outputs: B1) Proposal of legal amendments at State level for sound e-waste management and model state e-waste management plans developed. B2) Assessment of economic instruments documented and recommendations on fostering the sustainable financing of sound management of e-waste prepared, including development of WEEE stewardship levies and EPR mechanisms, supported by full lifecycle accounting and cost studies. B3) State and national level inventories of e-waste generation, associated mass flow balances and analytical estimates of POPs content and potential unintentional releases developed. B4) Management Plans developed for e-waste in state levels. Pilot demonstration projects based on these plans developed, implemented and evaluated in three States: one in North bordering with the United States (Baja California), Jalisco and Federal District of México City. B5) Outreach strategy designed and implemented including public awareness/ motivation for supporting capture of e-waste at source, and a cost effective collection chain. B6) E-waste training delivered and best practice sound management guidelines for municipalities and recycling enterprises as well as states governments developed and tested. B7) National characterization of recycling industry documented, and registration and certification system to ensure the adoption of environmentally sound e-waste management practices implemented. B8) Nationwide e-waste information exchange platform enhanced, linking waste streams and safe processors.				
	Establishment of State level regulatory and legal framework	None	Model state e-waste management plans established	3 State level E-waste Management Plans established	<u>Risks:</u> <ul style="list-style-type: none">- Low interest or cooperation from defined state government- Electronic OEMs not interested- Difficulty in identifying informal recycling facilities and no interest in participation- Low interest in e-waste management by recycling
	Development of WEEE stewardship levies and EPR to foster sustainable financing of sound management of e-waste	None	WEEE stewardship levies established and EPR mechanisms developed to foster sustainable financing	Lifecycle accounting and cost studies of WEEE levies and EPR establishment	
	State and national inventory on e-waste generation and mass	Outdated or inadequate data	Inventories with better determination of e-waste	Updated State and national e-waste inventories	

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
	flow balance		generated and POPs release better estimated		enterprises and general public <u>Assumption:</u>
	Development and implementation of State level Management Plans	Limited	Management Plans on lifecycle management (LCM) developed, implemented and evaluated in three States (north bordering United States, Jalisco and Federal District)	State level Management Plans Implementation results	- Extensive consultations during PPG stage solidified interest and secured co-financing commitments ensures active participation - Informal recyclers may be enticed by improved technologies that will produce better yield and high profit
	Development and implementation of outreach strategy	None	Outreach and communication programme for general public and state level government developed, implemented and results evaluated 15 times events organized and 300 participants	Outreach and communication strategy evaluation report Public awareness materials and events reports Public awareness perception/motivation assessment	- Public awareness and outreach programme will bring attention and promote awareness among general public, recycling enterprises, and government officials
	Training strategy on e-waste management guides developed Number of training workshop conducted	No active activities	Training strategy for public, recycling enterprises and state governments developed, implemented and results evaluated 500 participated in the training 2 guidelines produced	Training materials Training reports	- Better collection mechanism and improved dismantling and processing technologies will attract formal recyclers due to improved yields and higher profits
	Characterization study of nationwide recycling industry to establish a registration and certification system	None	Inventory of formal and estimation of informal recycling facilities Registration and certification system established for e-waste recycling industry, with 20 of the facilities certified. Increase in the number of registered facilities	Inventory list of formal recycling enterprises and estimation of informal facilities List of registered and certified/qualified recyclers	- National inventory and established registration and certification system will required recycling enterprises to practice environmentally sound management of e-waste
	Establishment of nationwide e-waste information exchange platform	None	Nationwide information exchange platform established linking waste streams and safe processors	Platform webpage	
	Outcome C): Demonstration of POPs release minimization in formal recycling and	Expected Outputs: C1) At least two demonstration pilot projects involving application of BAT/BEP in formal recycling facilities developed and implemented with emphasis on separating BFR from e-waste streams. C2) At least two demonstration pilot projects in informal recycling plants or clusters developed and implemented to bring operation up to an environmentally sound			

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
informal recycling of e-waste	operational and compliance level. C3) Feasibility study and design of a pilot facility undertaken,with possible investment of a proponent private sector partnerr.				
	Number of demonstration pilot projects with introduction of BAT/BEP in formal recycling facilities	None	At least 2 pilot interventions implemented, introducing BAT/BEP on collection, segregation, dismantling and final disposal	Contracts for pilot implementation	<u>Risks:</u> <ul style="list-style-type: none">- Low interest of participation of formal recycling facilities- Difficulties in identifying and securing participation of informal recyclers- Mechanisms and technologies inappropriate for recycling facilities to adopt- Informal recyclers unwilling to adopt sound management of e-waste due cost issues <u>Assumption:</u> <ul style="list-style-type: none">- Improved mechanisms and technologies in e-waste collection, segregation, dismantling and final disposal more cost-effective that reduce costs and generate higher yield and profit- Promoting awareness among informal recyclers will entice them to participate that will produce better yield and higher profit- International BAT/BEP already tested yielding positive management and technological improvement
	Number of demonstration pilot projects in informal recycling plants to bring operation up to environmentally sound operational and compliance level	None	At least 2 pilot interventions implemented with improved collection and segregation mechanism, and practice of environmentally sound management of e-waste	Contracts for pilot implementation	
	Feasibility study and design of integrated recycling facility	None	Feasibility study finalized with project design, identifying financing estimates and options with a private sector proponent	Feasibility study report	
Component 3: Reducing risks through elimination of POPs pesticides stockpiles and wastes					
Outcome D): Provincial POPs pesticides Waste Management Plan establishment and tested in selected provinces	Expected Outputs: D1) Update detailed inventory of remaining POPs pesticide stockpiles and associated waste and analytical estimates of POPs prepared. D2) Inventory verified and complemented, initial prioritization screening and risk assessment of POPs pesticide contaminated sites produced including training on site assessment for relevant government officials and service providers. D3) Waste Management plan from identification through to destruction for pesticides designed and tested at state pilot scale.				
	Availability of inventory of remaining POPs pesticide stockpiles and associated waste	Inventory outdated and complete	Detailed inventory updated, prioritization screening conducted and risk assessment of POPs pesticide contaminated sites	Obsolete POPs pesticide and waste inventory Risk assessment reports	<u>Risks:</u> <ul style="list-style-type: none">- Process of updating inventory ineffective or incomplete <u>Assumption:</u>

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
			produced		- Consolidation of information available from principle historical holders of POPs and general obsolete pesticide inventories as well as establishing secure care, custody and financial/liability arrangements particularly considering historical state involvement and current private sector role
	Availability of Waste Management Plans at 3 States (Chiapas, Sinaloa, Jalisco)	Not available at all States	3 Waste Management Plans from identification through destruction of POPs pesticides designed and tested at state pilot scale	State Waste Management Plans Implementation reports	
Outcome E): Substantial elimination of remaining POPs pesticide stockpiles and POPs wastes in Mexico	Expected Outputs: E1) Qualification of cost effective commercial options for the environmentally sound destruction of POPs pesticide stockpiles and wastes consistent with international standards. E2) Environmentally sound destruction of at least 400 tons and up to 1,000 tons of POPs pesticide stockpiles and waste. E3) Technology of recycling processes for used pesticide containers assessed.				
	Effective commercial options for environmentally sound destruction of POPs pesticide stockpiles and wastes	None	Available domestic and export market commercial destruction options assessed	Shortlist of viable and likely competitive commercial options	Risks: - Limited or unqualified commercial options - Technically inefficient or not cost-effective destruction options Assumption: - Availability of viable and likely competitive commercial options
	Amount of POPs pesticide stockpiles and waste destroyed	400 tons of confirmed inventory of pesticide stockpiles	Elimination of 400 tons of confirmed inventory of POPs pesticide stockpiles and wastes, and may lead to the elimination of 1,200 tons pending findings of an updated inventory during project implementation	Progress and completion reports	
	Feasibility study for recycling of used pesticide containers	None	Technological and economical aspects of recycling used pesticide containers studied. Action plan designed and costs estimated	Experts reports	
Outcome F): Containment / remediation of priority POPs pesticide contaminated sites and national programme to address remaining sites	Expected Outputs: F1) Detailed remediation plans on up to 3 priority POPs pesticide contaminated sites designed and developed. F2) First phase remediation plans for up to 10 POPs pesticide contaminated sites developed. F3) A national programme for ongoing management of POPs pesticide contaminated sites enhanced.				
	Number of remediation plans for high priority POPs contaminated sites	None	3 Detailed remediation plans designed inclusive of costs estimates	Remediation plans; contracts for plan implementation; completion reports	Risks: - Inventory updating and identification of contaminated

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
	Number of first phase remediation plans for POPs pesticides contaminated sites	None	10 Preliminary containment and remediation plans generated; implementation arrangements including identification of clean up financing identified	Preliminary containment and remediation plans; and associated implementation and financing plans	sites incomplete <ul style="list-style-type: none">- Inadequate financial resources to implement containment and remediation activities at identified contaminated sites- Limited financial and human resources to implement national programme <u>Assumption:</u> <ul style="list-style-type: none">- Risk assessment study to proactively identify and mitigate financial and human resources needs
	Availability of national programme for on-going management of POPs pesticide contaminated sites	None	National programme addressing contaminated sites in general with specific emphasis on POPs contaminated sites	Programme document	
Component 4: Obsolete pesticide management capacity strengthening					
Outcome G): Institutional strengthening at provincial level for obsolete pesticides management delivered	Expected Outputs: G1) Assessment of national institutional capacities for establishment of obsolete pesticide management plans at state level undertaken G2) Outreach and training programmes on obsolete pesticide management for pesticide end-users, waste management service providers, and law enforcement government officers. G3) National pesticide waste management guidelines, including reporting formats, updated. G4) State and municipal level obsolete pesticide and used containers collection programme reinforcement delivered. G5 National replication programme for sustainable obsolete pesticide management developed.				
	Availability of an assessment covering national institutional capacities for implementation of state level obsolete pesticides management plan	State and national level programme not matching obligations of international conventions	National capacity assessed, gap analysis conducted, priorities and action plans identified, public-private partnership initiated	Assessment reports and action plans	<u>Risks:</u> <ul style="list-style-type: none">- Lack of interest of state level authorities to buy in- Inefficient and ineffective inspection and enforcement efforts <u>Assumption:</u> <ul style="list-style-type: none">- Extensive stakeholders consultations during PPG stage and project implementation- Trainings conducted to strengthen capacities will ensure sustainable ongoing programmes
	Outreach and training programmes developed	None	100 Pesticide end-users, waste management and low enforcement governmental officials trained	Programme materials and training reports	
	Availability of national pesticides waste management guidelines	Present guidelines not matching obligations of international conventions	1 Guidelines updated to fully reflect international practices and lessons learned	Guidelines document	
	Reinforcement of State and municipal level obsolete pesticide and used containers collection programme delivered	Outdated State level used pesticide containers programmes	Changes implemented to reflect current experiences of other NAFTA and other Latin American countries	State level used pesticide container programmes	
	National replication programme for sustainable pesticide	None	National replication programme s	Replication programme	

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
	management		for sustainable obsolete pesticide management developed		
Component 5: Monitoring and evaluation					
Outcome H): Monitoring, learning, adaptive feedback, outreach, and evaluation	Expected Outputs: H1) M&E and adaptive management applied to project in response to needs, mid-term evaluation findings with lessons learned extracted. H2) Lessons learned and best practices are disseminated at national level.				
	Timing and quality of annual (APRs, PIRs etc.) and M&E reports Quality appraisal in Mid-Term Review and Terminal Evaluation	Indicative M&E plan, budget and timeframe	M&E activities implemented as scheduled and project implementation monitored to achieve project objectives	Various M&E and substantial reports Mid-Term Review and Terminal Evaluation reports	<u>Risks:</u> - Failure to exercise timely and effective M&E activities and adaptive management due to capacity issue
	Lessons learnt and experience documented and disseminated; post-project action plan formulated	None	Lessons and experience documented and disseminated	Knowledge products (publications, printed, audio-visual and promotional materials); post-project action plan	<u>Assumptions:</u> - Efficient M&E to facilitate achievement of outcomes and project objectives
Component 6: Project Management					
Output I): Strengthened project management capacities and efficiency	Expected Outputs: I1) Institutional capacity strengthened for project management I2) Project smoothly implemented and all results specified achieved and sustainable				
	Institutional established and capacities strengthened to achieve timely project implementation and disbursement	Limited existing staff	National project team established, staffed, equipped. National project team trained and capacities strengthened	Project APRs, PIRs, CDRs	<u>Risks:</u> - Inadequate capacity and insufficient coordination will impact project implementation <u>Assumptions:</u> - Efficient project management will lead to timely achievement of outcomes and project objectives
	Training needs identified; project personnel trained on relevant requirements of GEF and UNDP on project management	None	Staff trained and project management capacity strengthened	Training reports	

	Indicator	Baseline	End of Project Target	Source of Verification	Risks and Assumptions
	Routine project management activities undertaken to ensure the smooth and timely implementation of the project. The activities include but not limited to: drafting TORs, select and contract with consultants, organize M&E activities, organize the review of substantial report	None	Efficient and effective project management leading to achievement of project objectives and sustainability ensured	Progress and annual reports, mission reports and achieved outcomes National replication programme	

ANNEX B: RESPONSES TO PROJECT REVIEWS (from GEF Secretariat and GEF Agencies, and Responses to Comments from Council at work program inclusion and the Convention Secretariat and STAP at PIF).

Comments	Response	Reference in documents
Response to GEF Secretariat Comments at PIF Work Program Inclusion		
<p><i>Question 9. Is the project consistent with the recipient country's national strategies and plans or reports and assessments under relevant conventions, including NPFE, NAPA, NCSA, or NAP?</i></p> <p>GEFSEC Comments: POPs pesticides have been identified as a priority area in the country's NIP. POPs release from e-waste was not addressed in the first NIP. However the document mentioned that this will likely be done when updating the country's NIP. Mexico has already submitted, through UNIDO, a request for NIP update.</p> <p>It should be noted however that it would be difficult for the GEF to pass a judgment on the importance of POPs and UPOPs related to e-waste management without a preliminary inventory.</p>	<p>A preliminary inventory of U-POPs due to e-waste management has been provided in Part II section B "Project Overview," paragraph 6 of the PIF: this was estimated to be for burning in an uncontrolled manner for thermal wire reclamation of 73 g-TEQ/year in PBDE/F emissions; For burning of e-waste metal-plastic mixtures there still do not exist available emissions factors, in order to estimate those. These emissions will be calculated during PPG phase of project.</p> <p>Activities undertaken at the PPG stage has updated the amount of e-waste generated to between 613,643 and 753,205 metric tons per year, and the mass flow of PBDEs containing in e-waste in Mexico is between 696 – 854 tons.</p> <p>NIP Update proposal considers the 9 new POPs, within which PBDE/F are to be included.</p> <p>The Under-Secretary of Environment (SEMARNAT) has signed a letter presented to the GEFSEC CEO indicating that based on existing preliminary inventories of e-waste and the associated emissions of UPOPs, this is clearly a high priority area in Mexico, and that immediate attention is needed to reduce the problem.</p>	<p>Project Document paragraphs 2 - 12</p>
<p><i>Question 10. Does the proposal clearly articulate how the capacities developed, if any, will contribute to the sustainability of project outcomes?</i></p> <p>GEFSEC Comments: Project sustainability is not clearly articulated in the proposal. Please elaborate how the capacities developed will contribute to the sustainability of project outcomes</p>	<p>Sustainability of the project is to be assured based on 3 main outcomes. Firstly, modification of the Waste Law to incorporate e-waste as hazardous will bring into enforcement and alignment with Stockholm convention (PIF paragraph 27, output A2). This will allow permanent enforcement by the Federal Environmental Protection Attorney (PROFEPA) e-waste sound management with the regulations' amendments prepared. In second instance, development and testing of e-waste management plans in 3 important States in the country will mainstream even more the already high in perception subject (PIF paragraph 29, output B4). Management plans are already established as part of the General Law for Waste as an important tool for sound management of waste. This outcome will demonstrate to reinforce fulfillment of the Law. And in third place, pilot projects of implementation in formal and informal recycling operations, will help to reinforce the feasibility of these process also as an economically wise alternative for POPs destruction (PIF paragraph 29, outputs C1 and C2). Special emphasis will be put in control of informal recycling.</p> <p>In general it can be added that projects that focus on capacity building, institutional strengthening combined with a strong component of investment, are usually the projects with the highest likelihood of becoming sustainable.</p>	<p>Project Document Section 2.11, paragraph 100</p>
<p><i>Question 11. Is (are) the baseline project(s), including problem (s) that the baseline</i></p>	<p>See response to above comment</p>	<p>Project Document Section 2.6</p>

<p><i>project(s) seek/s to address, sufficiently described and based on sound data and assumptions?</i></p> <p>GEFSEC Comments</p> <p>Data on UPOPs from e-wastes are not supported by an inventory</p>		<p>Baseline Project, paragraphs 70 – 84.</p>
<p><i>Question 13. Are the activities that will be financed using GEF/LDCF/SCCF funding based on incremental/ additional reasoning?</i></p> <p>GEFSEC Comments</p> <p>Funding of activities related to e-wastes is not based on incremental reasoning. POPs and UPOPs release resulting from e-waste management is not well known.</p> <p>The project should focus on obsolete POPs pesticide management and disposal. For the e-waste component, we recommend UNDP to redesign the project with the view to developing pilot activities, (including assessing UPOPs released from unsound e-waste practices), development of management plan in one selected state. Consequently, the budget for this component should be drastically reduced.</p>	<p>UPOPs release from e-waste unsound management is to be assessed (supported by chemical analysis) as presented in PIF paragraph 29, output B3, as part of the state pilot projects and projected into the national inventory, besides obtaining State inventories. A more approximate figure for UPOPs potential release will also be obtained at the PPG stage of project. To determine UPOPs potential and actual release, UNEP methodology will be used, supported by data of list of facilities existing and complemented. Based on Management Plans, by experience in a previous similar project in Mexico, there exists need to have at least one replication of State Pilot and that is why plans are proposed for 3 States (out of 32 states in the country). The 3 selected states have different economic and social development. However, what require the largest part of project budget are the pilot projects of technology improvement in formal and informal recycling installations (outputs C2 and C3). These are investment activities. These will be implementation pilots and will take as well the largest part of the cofinancing, from the enterprises themselves and other the sources presented. From these pilot, also precise emissions will be determined, which can be used to project them to all facilities in the country and therefore determine with more certainty UPOPs emissions</p> <p>To better understand the rationale behind the component on e-waste, it would be important to take the following concepts into consideration:</p> <p><u>Management Plans in States:</u> This is a governmental legal instrument established in the national waste law that can be developed, established and supervised in its fulfilment by provincial governments. It encompasses integral waste management in all its stages, from inventory, composition and administrative organization of the Plan through management stages such as collection, storage, transport, reuse, refurbishing, recycling and end-of-life, to outreach and communication of risks to population and economic appraisal of e-waste management. No State so far has developed or established a management plan in the country for e-waste management. Management plans are devised in order to incorporate as many private waste generators and other important actors, such as recyclers.</p> <p><u>Implementation of improvement of BAT/BEP Pilots Concept.</u> These are demonstration projects of best technologies and practices that will be implemented in both formal and non-formal e-waste recycling facilities. These include from identification of all e-waste recyclers, the selection of the most appropriate for piloting, a thorough operational practices and technological assessment, followed by design and implementation of best practices and technological improvements, testing the operation and documentation. These results will be projected into the whole country's facilities</p> <p>The budget for component 3 has been reduced by 600,000 US\$, as suggested by the GEF SEC.</p>	<p>Project Document Section 1.1 paragraphs 1 – 16; 33 – 36; 39 – 41; 44 – 55; 59 – 60; 70 - 82</p>
<p><i>Question 14. Is the project framework sound and sufficiently clear?</i></p> <p>GEFSEC Comments</p> <p>No, GEF 5 strategy focuses on investments. So it would appear</p>	<p>Please note that most of the activities under this component are actual investments (GEF funding and Co-financing), in line with the GEF V strategy. The pilots and management plans have a clear focus on investment activities as a mean to reduce emissions of UPOPs.</p> <p>In PIF Paragraph 28, Outcome C, it is established that Implementation of Pilot project in BAT/BEP with at least 4 facilities will be developed. There</p>	<p>Project Document paragraphs 61</p>

<p>somewhat strange to provide nearly \$ 4.0 million dollars for the categories of activities defined under project component 2 (legal framework, inventories, pilot management plans, etc...)</p>	<p>are already a list of about 50 companies of different categories and sizes which are involved in e-waste recycling activities. There is therefore a clear potential for large replication effects within Mexico as well as in the Latin American region.</p>	
<p><i>Question 16. Is there a clear description of: a) the socio-economic benefits, including gender dimensions, to be delivered by the project, and b) how will the delivery of such benefits support the achievement of incremental/ additional benefits?</i></p> <p><i>GEFSEC Comments:</i></p> <p>Issues not addressed in the project document.</p> <p>Please describe socio-economic benefits to be delivered by the project and how these will support the achievement of incremental/additional benefits</p>	<p>This will be determined more precisely during the preparatory phase. Estimated 73 formal e-waste management facilities in México, of which 29 are recyclers and these employ at least 500 workers (a fraction of which are women) as a main vulnerable population. Present capacities of the recycling facilities might be for processing about 10% of the total waste generated. A legalization of all the recycling operations would substantially increase employment, which could be the main social benefit. Environmentally sound processing cost can be estimated at this stage to be about 5 US\$/kg, which leaves in a disadvantage to formal recyclers when compared to informal processing since cost will be much lower in this case. A much larger amount of people that work in the urban waste dump sites could also be exposed in case of fire.</p> <p>This aspect will be further developed during the during the PPG phase</p>	<p>Project Document Section 2.9 paragraph 93 – 99 and Section 2.12, paragraphs 102 – 106</p>
<p><i>Question 17. Is public participation, including CSOs and indigenous people, taken into consideration, their role identified and addressed properly?</i></p> <p><i>GEFSEC Comments:</i></p> <p>Is public participation, including CSOs and indigenous people, taken into consideration, their role identified and addressed properly? Issue not addressed</p>	<p>The project certainly has to go through a process of public consultation during the PPG phase, before the Full Size Project is submitted for CEO endorsement in its final form. This question will be addressed in depth during the PPG phase.</p> <p>CSOs are already very much aware and convinced of the need for sound e-waste management and are involved in the subject, mainly through local collection campaigns</p>	<p>Project Document Section 2.13, paragraph 107 – 109; Paragraph 124</p>
<p><i>Question 18. Does the project take into account potential major risks, including the consequences of climate change and provides sufficient risk mitigation measures? (i.e., climate resilience)</i></p> <p><i>GEFSEC Comments:</i></p> <p>Climate change risks are not addressed here</p>	<p>Risks are addressed in baseline, section B4. However, neither e-waste nor pesticides have a direct incidence in Climate change.</p> <p>However. It is a well-known fact that materials recycling, save energy, and therefore decrease combustion emissions from ranges which go from 40 up to 95% of the energy required when processing from raw materials from primary sources. This is the only relation project might have with climate change. But not a risk.</p> <p>Climate Change personalized through increased extreme weather (storms, hurricanes, etc.) in the baseline scenario is affecting the situation. The risk of exposure to POPs (pesticides) will be reduced by eliminating all known existing stockpiles in the country. Likewise for UPOPs, reduced emissions will lead to less exposure to UPOPs in Mexico from e-waste – with or without increased risks from Climate Change.</p>	<p>Project Document Section 2.10, Risks and Mitigation Measures, page 25</p>
<p><i>Question 20. Is the project implementation/ execution arrangement adequate?</i></p> <p><i>GEFSEC Comments:</i></p> <p>Project arrangement needs to be</p>	<p>The Project will be implemented via the National Implementation Modality (NIM) as it is normally the case in UNDP projects funded by the GEF. SEMARNAT will be the project lead and responsible for the project implementation. Below is a list of all the main project stakeholders.</p> <p>Federal Ministries: Ministry of Environment and Natural Resources (SEMARNAT), Implementing agency of full project. Ministry of</p>	<p>Project Document Section 5, paragraphs 118 - 175</p>

<p>better elaborated. In particular, we expect UNDP to specify the role of government agencies and the modality of private sector involvement.</p>	<p>Agriculture (SAGARPA): support to implementing agency in capacity building in component 4</p> <p>Provincial Agencies: Ministries of environment in the States of Nuevo León, Mexico City (Federal District) and Jalisco: will participate in the implementation of e-waste pilot management plans in each State, component 2 and of POPs pesticides waste management plans, component 3.</p> <p>Private Sector:</p> <p>Original (Electronic) Equipment Manufacturers (OEMs), importers and major distributors of electronics: will participate in the establishment of Pilot management Plans in the 3 States and co-finance pilot projects implementation of improvements of BAT/BEP of component 2</p> <p>E-waste processors (recyclers): implement pilot for improvements of BAT/BEP of component 2</p> <p>Asociación Mexicana de la Industria Fitosanitaria A.C (AMIFAC): implement POPs pesticides waste management plans</p>	
<p><i>Question 23 Is funding level for project management cost appropriate?</i></p>	<p>Project Management Costs of 270,000 is allocated</p>	<p>Project Document paragraph 69</p>
<p><i>Question 24 Is the funding and co-financing per objective appropriate and adequate to achieve the expected outcomes and outputs?</i></p>	<p>Funding of component 3 has been reduced by 600,000 US\$.</p>	<p>Project Document paragraphs 70–84. Total Budget and Workplan, page 38 - 43</p>
<p>UNDP's contribution is not reflected in the indicative co-financing table (Table C)</p>	<p>Noted</p>	<p>CEO Endorsement Request Table C</p>
<p>Response to STAP Comments</p>		
<p>a) Mexico has some good laboratory capacity and the project should consider using them for monitoring and opportunities for capacity enhancement to address newer POPs. This will also offer opportunities to improve the capacity of female laboratory workers and executives.</p>	<p>This is addressed in Activity A4) Enhance the analytical and monitoring capacities and protocols of federal inspectors and Customs and chemical labs.</p>	<p>Project Document paragraph 58</p>
<p>b) The risk of climate change should be considered in the context of the risk climate change may have on the project, not vice versa. Climate change may affect the operations of the project.</p>	<p>Climate change will not have any effect on the Project. Climate change does not interfere with any of the activities of the Project nor with any of the overall management or processing of e-waste or the management and elimination of obsolete COPs pesticides</p>	
<p>c) There could be a better emphasis on waste minimization in the project as it attempts to overcome fragmented coordination of waste management (in Component 2).</p>	<p>Management Plans, either for “special management waste” or for hazardous waste, include prevention of generation of waste as a strong component, besides an integrated coordination of all activities. These Plans are addressed in the Project Document paragraph 58 (Activities B4 and B5).</p>	<p>Project Document paragraph 60</p>

<p>d) The description at para 12 of the PIF that describes the classification of e-waste as "special handling waste", vs "hazardous waste", conferring upon it the necessity for a waste management plan and special reporting of waste volumes to state governments in order for enforcement of regulations, suggests that part of the legislative exploration might be to assess the pros and cons of re-categorization of e-waste, since with its current legal status it is subjected to many special steps before regulation can be implemented. Additionally, when one also considers that only 8 of the 32 states of Mexico have state laws governing special handling waste, then it seems that perhaps there could be elaborated in the eventual project document consideration of the implications of changing the legal status of e-waste to being a hazardous waste to help justify all the effort that will have to be put into special waste plans and state reporting in order get it regulated. It is of course recognized that e-waste recycling is an important revenue stream, and so there is surely additional reasons why it falls in the "special handling" vs "hazardous" categories, but this at least might be articulated to justify the project approach.</p>	<p>Yes, this is addressed in paragraphs 13, 53, 54, 58 (Activity A2), 60 (Activity B1), of the Project Document. The Project will seek "re-categorization" of e-waste as hazardous, and not anymore as "special management waste" in order to align Mexican regulations with the Stockholm and Basel Conventions. In case this is not achieved during the duration of Project, the Project will work with the Management Plans for the States; in either case, Mexican Law dictates that management plans must be implemented, for special management (State) and for hazardous wastes (Federal) enforcement.</p> <p>The 8 out of the 32 States that have laws regulating special management waste are those that have specific laws, but the others are nonetheless regulated by the Federal Law (LGPGIR)</p>	<p>Project Document paragraph 13, 53 54, 58 and 60</p>
<p>e) As a reminder, the STAP hopes that the eventual project document will also consider all of the elements that constitute environmentally sound disposal. The STAP Advisory document on POPs Disposal Technology in GEF Projects focuses on what exactly constitutes environmentally sound disposal of POPs, and what disposal technologies can achieve it.</p>	<p>This is addressed in the Project Document paragraphs 58, 61 (Activities C1 and C3) and paragraph 64 (Activities E1, E2 and E3)</p>	<p>Project Document paragraphs 58, 61 and 64.</p>

ANNEX C: STATUS OF IMPLEMENTATION OF PROJECT PREPARATION ACTIVITIES AND THE USE OF FUNDS⁵

A. PROVIDE DETAILED FUNDING AMOUNT OF THE PPG ACTIVITIES FINANCING STATUS IN THE TABLE BELOW:

PPG Grant Approved at PIF: \$100,000			
<i>Project Preparation Activities Implemented</i>	<i>GEF/LDCF/SCCF/NPIF Amount (\$)</i>		
	<i>Budgeted Amount</i>	<i>Amount Spent To date</i>	<i>Amount Committed</i>
Definition of needs and strategies for institutional strengthening capacities	10,000	4,900	
Definition of needs and strategies for improvement to regulatory and policy framework	10,000	8,900	
Definition of the basis for management plans, pilot projects and inventories for reduction of POPs releases from e-waste and for reduction of risks through elimination of POPs obsolete pesticides stockpiles	40,000	19,153	37,647
Development of M&E strategy	20,000	9,806	8,194
Cofinance scheme project definition	20,000	7,800	3,600
Total	100,000	50,559	49,441

⁵ If at CEO Endorsement, the PPG activities have not been completed and there is a balance of unspent fund, Agencies can continue undertake the activities up to one year of project start. No later than one year from start of project implementation, Agencies should report this table to the GEF Secretariat on the completion of PPG activities and the amount spent for the activities.

ANNEX D: CALENDAR OF EXPECTED REFLOWS (if non-grant instrument is used)

Provide a calendar of expected reflows to the GEF/LDCF/SCCF/NPIF Trust Fund or to your Agency (and/or revolving fund that will be set up)

N/A