



# PROJECT IDENTIFICATION FORM (PIF)

PROJECT TYPE: FULL-SIZED PROJECT

TYPE OF TRUST FUND: GEF TRUST FUND

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## PART I: PROJECT INFORMATION

Project Title:	Strengthening of National Initiatives and Enhancement of Regional Cooperation for the Environmentally Sound Management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries		
Country(ies):	The Argentine Republic, the Plurinational State of Bolivia, the Republic of Chile, the Republic of Costa Rica, the Republic of Ecuador, the Republic of El Salvador, the Republic of Guatemala, the Republic of Honduras, the Republic of Nicaragua, the Republic of Panamá, the Republic of Peru, the Eastern Republic of Uruguay and the Bolivarian Republic of Venezuela	GEF Project ID: <sup>1</sup>	5554
GEF Agency(ies):	UNIDO (select) (select)	GEF Agency Project ID:	SAP 130096
Other Executing Partner(s):	Ministries of Environment, Health, Science and Technology, Industries, Foreign Affairs, etc. Private companies (IT, dismantlers, recyclers, waste handlers...), RELAC (the regional LAC e-waste network). Other national / international Organizations, Regional Centers for the Basel and Stockholm Conventions in LAC.	Submission Date: Re-submission Date:	08/19/2013 10/29/2013
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 (\$):	902,500

### A. INDICATIVE FOCAL AREA STRATEGY FRAMEWORK<sup>2</sup>:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
(select) CHEM-1	GEFTF	9,500,000	35,000,000
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
(select) (select)	(select)		
Total Project Cost		9,500,000	35,000,000

### B. INDICATIVE PROJECT DESCRIPTION SUMMARY

<sup>1</sup> Project ID number will be assigned by GEFSEC.

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

**Project Objective: To strengthen national initiatives and enhance regional cooperation for the environmentally sound management of POPs in Waste of Electronic or Electrical Equipment (WEEE) in Latin-American Countries**

<b>Project Component</b>	<b>Grant Type<sup>3</sup></b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>Trust Fund</b>	<b>Indicative Grant Amount (\$)</b>	<b>Indicative Cofinancing (\$)</b>
1. Strengthening of national e-waste management initiatives	TA	<p>1.1 National Policies are formulated / improved (depending on the country-specific situation)</p> <p>1.2 National Capacity for e-waste management is in place</p> <p>1.3 National society is informed and aware of e-waste issues</p>	<p>1.1.1 National policies and regulations are drafted or reviewed</p> <p>1.1.2 National e-waste management strategies are established</p> <p>1.1.3 Guidelines for the e-waste management activities are developed and tested</p> <p>1.1.4 National financial mechanisms are defined and designed</p> <p>1.2.1 Officials and staff involved in the operations are trained on e-waste management according to their needs</p> <p>1.2.2 Selected universities include e-waste management in their curricula and research programs</p> <p>1.2.3 National knowledge and information management systems are set and ready for regional exchange</p> <p>1.3.1 Media and journalists are trained on e-waste issues and informed regarding the progress of the national and regional initiatives</p> <p>1.3.2 Awareness raising campaigns /</p>	GEFTF	3,600,000	12,994,000

<sup>3</sup> TA includes capacity building, and research and development.

			customized events are developed to address the needs of specific target groups (i.e. children, women, indigenous people) and society at large			
2. Strengthening of national capacities on waste dismantling and recycling facilities / infrastructure	INV	2.1 Existing and new e-waste dismantling and recycling facilities or infrastructure are operating efficiently and sustainably in participating countries	<p>2.1.1 Assessments of existing facilities and infrastructure (where they exist) are ready for selecting the ones that will be scaled up</p> <p>2.1.2 Selected facilities are scaled up to meet project criteria</p> <p>2.1.3 A pilot dismantling / recycling facility is set up and ready to work in countries without an existing one</p> <p>2.1.4 Adequate business models are developed through the whole e-waste management chain to ensure long-term sustainability of the facilities</p>		3,900,000	16,001,000
3. Enhancement of Regional Cooperation on e-waste management	TA	<p>3.1 Key issues of e-waste policies are harmonized at the regional level, with due consideration of the relevant MEAs and main mechanisms like SAICM</p> <p>3.2 Knowledge management systems and information exchange are strengthened</p>	<p>3.1.1 Comparative analysis of existing national policies / regulations is conducted to identify key issues that need to be addressed at the regional level</p> <p>3.1.2 A regional policy platform is operating to facilitate policy harmonization on key issues, with involvement of MEAs officials</p> <p>3.2.1 A regional knowledge / information system is integrated into the policy platform</p>	GEFTF	1,350,000	2,025,000

		3.3 South-South cooperation is enhanced	3.2.2 National knowledge / information systems are linked to the regional one  3.3.1 Knowledge sharing leads to strengthened country cooperation within the region  3.3.2 Regional post-project action plans and initiatives are developed			
4. Project Monitoring and Evaluation	TA	4.1 Monitoring       4.2 Evaluation	4.1.1 Monitoring system is set and works  4.1.2 Progress reports are delivered and required decisions/actions are taken  4.2.1 Mid-term and final external evaluations are conducted  4.2.2 Lessons learned are shared with all relevant stakeholders for future project improvement	GEFTF	200,000	720,000
	(select)			(select)		
		Subtotal			9,050,000	31,740,000
		Project Management Cost (PMC) <sup>4</sup>		(select)	450,000	3,260,000
		Total Project Cost			9,500,000	35,000,000

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

Sources of Cofinancing	Name of Cofinancier	Type of Cofinancing	Amount (\$)
GEF Agency	UNIDO	Cash	200,000
National Governments	Specific to each country	Cash / Investment	4,142,500
National Governments	Specific to each country	In-kind	5,142,500
Local Governments	Specific to each country	Cash / In-kind	5,783,400
Private sectors	Specific to each country	Cash / Invest. / In-kind	10,773,000
Others	Specific to each country	Cash / Invest. / In-kind	4,158,000
Others	To be determined in each country	Unknown at this Stage	4,800,600
<b>Total Cofinancing</b>			<b>35,000,000</b>

<sup>4</sup> To be calculated as percent of subtotal.

**D. INDICATIVE TRUST FUND RESOURCES (\$) REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY<sup>1</sup>**

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount (\$) (a)	Agency Fee (\$) (b) <sup>2</sup>	Total (\$) c=a+b
UNIDO	GEFTF	Persistent Organic Pollutants	Regional	9,500,000	902,500	10,402,500
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
(select)	(select)	(select)				0
<b>Total Grant Resources</b>				9,500,000	902,500	10,402,500

<sup>1</sup> 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.

<sup>2</sup> Indicate fees related to this project.

**E. PROJECT PREPARATION GRANT (PPG)<sup>5</sup>**

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

	<u>Amount Requested (\$)</u>	<u>Agency Fee for PPG (\$)<sup>6</sup></u>
• No PPG required.	<u>-- 0--</u>	<u>--0--</u>
• (upto) \$50k for projects up to & including \$1 million	<u>                    </u>	<u>                    </u>
• (upto)\$100k for projects up to & including \$3 million	<u>                    </u>	<u>                    </u>
• (upto)\$150k for projects up to & including \$6 million	<u>                    </u>	<u>                    </u>
• (upto)\$200k for projects up to & including \$10 million	<u>200,000</u>	<u>19,000</u>
• (upto)\$300k for projects above \$10 million	<u>                    </u>	<u>                    </u>

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

Trust Fund	GEF Agency	Focal Area	Country Name/Global	(in \$)		
				PPG (a)	Agency Fee (b)	Total c = a + b
GEF TF	UNIDO	Persistent Organic Pollutants	Argentina, Bolivia, Chile, Costa Rica, Ecuador, El Salvador, Guatemala, Honduras, Nicaragua, Panama, Peru, Uruguay and Venezuela	<u>200,000</u>	<u>19,000</u>	<u>219,000</u>
(select)	(select)	(select)				0
(select)	(select)	(select)				0
<b>Total PPG Amount</b>				<u>200,000</u>	<u>19,000</u>	<u>219,000</u>

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

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

<sup>6</sup> PPG fee percentage follows the percentage of the GEF Project Grant amount requested.

## **PART II: PROJECT JUSTIFICATION<sup>7</sup>**

### **PROJECT OVERVIEW**

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

#### **1) The global environmental problems, root causes and barriers that need to be addressed**

1. Waste of electronic or electrical equipment (WEEE) or e-waste, is defined as whole items or parts or residuals from electrical and electronic equipment (EEE) discarded by the consumer before or at the end of its service life. EEE includes all devices needing an electric current or electromagnetic fields for proper operations. The continuous technological change and the frequent replacement of electronic and electrical equipment, especially in developed countries, leads to a rapid increase of e-waste globally in terms of volume and complexity; each year, around 20 to 50 million tons of e-waste are generated worldwide. This situation and trend is now taking place also in developing countries.

2. WEEE streams have characteristics that make them different from other waste streams, such as municipal or hazardous wastes. In particular, they offer a potential for recovery of high-value recyclable materials but, at the same time, they might contain highly toxic compounds including Persistent Organic Pollutants or POPs (mainly Polychlorinated Biphenyls or PCBs, and Polybrominated Diphenyl Ethers or PBDEs). According to the Stockholm Convention guidance on new POPs; and particularly to the “*Guidance for the inventory of polybrominated diphenyl ethers (PBDEs) listed under the Stockholm Convention on POPs,*” c-OctaBDE was mainly used in acrylonitrile-butadiene-styrene (ABS) polymers for housings/casings for EEE, especially for cathode ray tube (CRT) housings of computer and TV monitors.

3. E-waste has become a very prominent issue on the national agendas in several Latin American countries, and the interest is growing steadily within the public and private sectors, as well as in civil society organizations. Political and public concerns about the handling and treatment of e-waste arise due to the contained POPs and hazardous components; at the same time, as countries struggle to improve their economies, e-waste seems to offer important economic and business opportunities that can help generate new enterprises, employment and good practices; e.g. increasing the rates of collection, enhancing the re-use of still working equipment, promoting refurbishment and reutilization, or improving the extraction and commercialization of contained valuable materials.

4. Most countries in Latin America have already started implementing different initiatives, including inventories, diagnostics, pilot collection activities, education campaigns to the population, workshops and seminars, which have led to the formulation of policy proposals, including the enactment of specific rules and regulations for the proper management, collection, awareness-raising, and the establishment of recycling facilities for WEEE. These activities have been mainly conducted through independent events and national and regional organizations or working groups and networks, mainly in response to local contexts, needs and developments.

5. In many Latin American countries there seems to be a shared understanding to rely on a common standard for the design of proposed solutions for the management of WEEE, which is the principle of extended producer responsibility (EPR). However, due to national differences in policy developments and the status of WEEE related initiatives, progress has not been homogeneous throughout the region.

6. In addition, there is still a lack of clarity regarding the notion of producer or the scope of responsibility, and in some cases, shortage of adequate dismantling and recycling infrastructure or lack of specific policies on e-waste. These factors certainly have affected harmonious and conducive

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<sup>7</sup> Part II should not be longer than 5 pages.

interactions which in turn have hindered and delayed the adoption of a successful management model. Without the proposed project and the support at the national and international levels, this scenario is likely to continue, at least in the short and medium term.

7. Another global environmental problem is the improper recycling of WEEE, which may involve the burning of plastic coatings, housings and casings, causing thereby the formation and release of unintentionally-produced POPs (u-POPs), like dioxins and furans which are highly toxic chemicals that, as other POPs remain intact for very long time periods, travel long distances in the environment where they become widely distributed, accumulate in living organisms including humans, and appear in higher concentrations at higher levels in the food chain, causing serious toxic effects to both humans and wildlife. Thus, without proper management and control throughout the lifecycle of EEE and the management of WEEE, POPs releases contribute to polluting the environment and increasing the concentrations of toxic chemicals in the human bodies, with deleterious consequences for the human health. Because POPs can also travel very long distances, POPs releases and emissions may affect people and the environment not only where they are produced or released, but also people and ecosystems located thousands of kilometers away. In this respect, women and children are of special concern as their bodies are usually more sensitive if exposed to POPs or waste of hazardous components and chemicals such as lead, cadmium and mercury. A gender analysis would help identify priority problems associated to the human health and environment through the EEE and WEEE lifecycle, and design targeted awareness raising and customized events at the national and local levels.

8. To properly protect the workers' and the public health, the safety of the communities and the integrity of the environment from POPs and other toxics, the environmentally sound management of WEEE during its collection, storage, dismantling, recovery, treatment and final disposal should include effective safety, occupational and environmental management practices, which are also considered through this project whose aim is to contribute to achieving environmentally sound management and disposal of POPs waste with special focus on WEEE management at the national and regional level in Latin America.

## **2) The baseline scenario and any associated baseline projects**

9. The participating countries have different baseline scenarios, which mainly depend on their different developmental, technical, economic and social situations. For the participating countries the following table contains summary information on the current status of WEEE management. During the PPG stage, detailed baseline information will be collected in each participating country and assessed to ensure proper design of the national and regional project activities and determine the possible synergies and complementarities with ongoing activities to ensure optimal and meaningful project implementation.

TABLE 1: Overview of baseline scenarios

<b>Country</b>	<b>Status of E-waste policy/ regulation</b>	<b>Existing initiatives</b>
Argentina	Advanced policies, regulation and guidelines under development since 2008. Approval is likely to occur soon.	More than 10 public / private dismantling facilities that need to be upgraded. Deep interest in financial mechanisms, business models, capacity building and awareness raising.
Bolivia	Basic. policy framework that needs to be largely developed	Government is interested in developing e-waste collection and processing centers in the three main cities (La Paz, Cochabamba and Santa Cruz)

Chile	Advanced policies, regulations and guidelines; however, they require further development before enactment occurs. Inventories are updated and information systems work well	The government, through its Ministry of Environment, is very interested in setting a pilot dismantling and recycling facility.
Costa Rica	The country has been working on e-waste issues for several years and has a relatively advanced policy and regulatory framework. The priority is to upgrade this framework regarding POPs	There are 11 dismantling / recycling facilities already registered with the Ministry of Health. Government is interested in coordinating e-waste activities, especially with other countries in Central America.
Ecuador	On December 2012 this country enacted a specific policy on e-waste, but regulatory development is urgently needed for its proper application. Nonetheless, there are already a number of dismantlers and recyclers specialized on e-waste.	The Ministry of Environment wants to help upgrade some of the existing dismantling and recycling facilities and find ways to support the development and application of its e-waste policy.
El Salvador	Specific e-waste policies and regulations are still lacking; nonetheless, the country has relatively good inventories and at least four dismantling and e-waste recycling facilities, including one 'state-of-the-art' one.	The Ministry of Environment and Natural Resources is mainly interested in developing the policy, legal and regulatory framework; helping upgrade and make sustainable the operations of the existing facilities; building capacity in the public sector and developing awareness-raising campaigns
Guatemala	There is a lack of e-waste policies and regulations, but the country has at least two dismantling and e-waste recycling facilities. More research and work on the inventories is required.	The Ministry of Environment and Natural Resources would like to develop e-waste policies, and establish a specific legal and regulatory framework. With this, other priorities include upgrading the existing facilities; building e-waste management capacity and awareness for the general population.
Honduras	E-waste specific policies and regulations are lacking, and the country has only one dismantling and e-waste recycling facility. Inventories are practically missing, but	The National Secretariat of Natural Resources and the Environment hopes to develop and enact e-waste policies and specific legal and regulatory frameworks. It also aims at



	public officials and the society have given priority to this topic.	upgrading the existing facility; building e-waste management competence at all levels; involving the media and developing awareness-raising campaigns for the general population.
Nicaragua	The policy and regulatory framework here is probably the weakest in Central America at the moment. Inventories are practically unknown, and it seems that all the collection and recycling activities are currently developed only by the informal sector. Nonetheless, the Government and the society at large give high priority to e-waste management.	The Ministry of Environment and Natural Resources is committed to develop and enact e-waste specific policies and the regulatory framework. It also would like to establish a pilot facility for e-waste dismantling and recycling. Capacity building on e-waste management is required at all levels of the society. South-south cooperation would be welcome to help reach these goals.
Panama	The country lacks reliable information regarding e-waste; however, good guidance on integrated management of hazardous waste has been produced. Similar to other countries in Central America, the policy, legal and regulatory framework needs to be developed.	Under the leadership of its Ministry of Health and the support of the National Environmental Authority, Panama would like to develop and enact specific e-waste policies and regulations. It also aims at setting a pilot facility for e-waste dismantling and recycling. Like in other participating countries, issues related to capacity-building and public participation are given priority.
Peru	The country has an advanced policy framework and Peru's National Plan for Environmental Action 2011-2021 sets high priority on e-waste management.	At the moment, Government is interested on implementing the project "Sustainable Recycling Industries" and enforcing its e-waste policy both in the public and private sectors.
Uruguay	A specific e-waste policy and regulatory framework is under preparation on the basis of the General Act for Environmental Protection, N°17.283/2000. Inventories are still under development.	The main focus at the moment is improving e-waste collection, particularly of discarded computers, mobile telephones, used batteries and lamps containing Hg.
Venezuela	Specific e-waste policy has to be drafted and the regulatory framework should be	The priorities for e-waste management are developing the policy, legal and regulatory

	developed. Reliable inventories on e-waste are lacking.	framework; implementing relatively large projects on e-waste collection, dismantling and recycling; building national capacity on e-waste management; and, developing awareness-raising campaigns.
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10. In general, some countries (Argentina, Costa Rica, Chile, Peru and El Salvador) are at a relatively advanced stage of (W)EEE management, while Ecuador and Venezuela are at an intermediate stage, and countries like Honduras and Bolivia are just beginning to address an environmentally sound (W)EEE management. However, despite these differences, the principle of extended producer responsibility (EPR) seems to be a useful policy tool for the participating countries. Thus, introducing a regional strategy for WEEE management is highly desirable to synergize the efforts developed in each country and improve coordination with the regional and global networks to enable a unified approach for the environmentally sound management, treatment and disposal of obsolete electrical and electronic equipment.

11. Among the participating countries, Chile, Ecuador, Honduras, Peru and Uruguay are involved in the UNEP/GEF Global Project "Supporting the Implementation of the Global Monitoring Plan of POPs in Latin America and Caribbean States (GRULAC)", whose main objective is to build capacity to contribute with national POPs analysis to the reporting under the Global Monitoring of POPs. Wherever feasible, capacity built by that project, and acquired experience and knowledge will be used for the national and regional project components. In addition, Argentina, Chile, Ecuador, Peru and Uruguay are part of the regional UNEP/GEF ongoing project entitled "Continuing Regional Support for the POPs Global Monitoring Plan under the Stockholm Convention in the Latin American and Caribbean Region", that aims at strengthening the capacity for implementation of the revised POPs Global Monitoring Plan in the Latin American and Caribbean region to create conditions for network sustainability. Experiences gained and strengthened POPs monitoring capacity will be extended to the proposed project for improving project activities on WEEE management, wherever applicable. Furthermore, the participating countries are in different stages of their NIP review and update processes; therefore, data gathered during these Enabling Activities, especially on POP-PBDEs and PCBs, will provide to the project some indications of the national POPs situation, identified priorities and actions to be taken regarding e-waste. Nonetheless, based on preliminary estimates, during its implementation, the project will partly address the needs of around 195 – 200 million Latin-Americans in 13 countries. This corresponds, roughly to amounts of WEEE generated between 555,000 and 600,000 tons/year, from which it is estimated that 20% are collected and, from them, 10% are processed directly by the project and its partners. Therefore, the project is set to develop the ESM of approximately 11,000 to 12,000 tons/year of e-waste, which correspond to the ESM of some 2,300 to 3,000 kg of PBDE expressed as c-OctaBDE. In addition, the project will address unintentional emissions of pentachlorobenzene (PeCB), which are mainly associated with combustion- of plastics containing PCV. The amounts of these emissions will be estimated once the required information becomes available during the PPG phase.

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

12. The main objective of the project is to support and implement actions leading to a system for environmentally sound management of e-waste in 13 Latin American countries. The project consists of two core components, focusing on (1) the strengthening of national e-waste management initiatives; and, (2) the enhancement of regional cooperation on e-waste management. The GEF funds will be used mainly to support existing national activities and also to strengthen the regional cooperation with regard to e-waste management.

### 13. Regional and sub-regional strategy

The regional strategy will focus on aligning the existing and new initiatives to ease the management of all WEEE components in the region. Better coordination and cooperation among countries within the sub-regions and the whole region will result in a more efficient and effective way of collecting, recycling and end-processing WEEE.

The project will facilitate information exchange and knowledge transfer by conducting regional workshops and establishing a regional knowledge management platform. Regular web-based and face-to-face meetings will support effective communication. Further, the regional Basel and Stockholm Convention Centers will be highly involved in coordinating activities at the sub-regional and regional level. Existing networks like RELAC will contribute to the regional coordination of the project, as well.

### 14. Regional strategy vs. national policy

To complement the regional strategy, the national policies will focus on the developments within each country. Although some alignment among the countries is important, national e-waste management strategies must be country-tailored since they are key factors for the long-term success. National e-waste management strategies include regulations for the disposal of WEEE, a collection system, the establishment / strengthening of existing dismantling facilities, recycling and reuse standards, etc. Only if national policies are in place, cooperation within the region is feasible on the long-term. To support the countries, the project will conduct an in-depth analysis of the status quo in each country and develop a strategy to improve the situation. Depending on the outcomes of the analysis, the focus could be either on policy issues and/or operational concerns.

National coordinators will be appointed to coordinate activities on the ground and to represent the country at the sub-regional and regional levels. The national coordinators will be responsible for a successful project implementation mainly at the national level but also to promote the country's development within the international community.

15. To achieve the project objectives, the following components and outcomes are proposed:

## **Component 1 - Strengthening of national e-waste management initiatives**

The current status of the e-waste management initiatives varies among the targeted countries, i.e.: regarding policy formulations, existence and status of recycling facilities, collection strategies, public awareness, etc. A customized approach for each country, within a general project framework, is applied to address simultaneously the individual and general issues of the participating countries, so each of them gets the required support. Such an approach, whose details will be defined during the project preparatory phase, rests on the following three outcomes, for each of which some illustrative activities are listed herein.

Outcome 1.1: National Policies are formulated / improved (depending on the case)

- Analyze existing policies related to e-waste management or formulate them, if lacking
- Improve existing and/or formulate new e-waste management strategies to comply with regional standards, including setting a sound collection strategy
- Design and test guidelines for e-waste management activities
- Support the definition of a country-specific implementation strategy including a financial mechanism

Outcome 1.2: National Capacity for e-waste management is in place

- Organize trainings for officials and staff working at e-waste recycling facilities
- Establish co-operations with universities to include e-waste related courses in their curricula and research
- Design a national information sharing and knowledge management system to enhance information exchange and knowledge sharing among national stakeholders

Outcome 1.3: National society is informed and aware of e-waste issues

- Conduct trainings for journalists to make them aware of the problem and support them with information on national and international developments
- Design target-group specific awareness-raising campaigns, e.g.: in schools, for women, for children, etc. to highlight the issue of e-waste management to the broad public

## **Component 2 - Strengthening of national capacities on waste dismantling and recycling facilities**

This component will be customized to the needs of each country, depending on the existing collection points and dismantling facilities. Thus, the project will help either to improve existing operations or set up appropriate facilities to collect and dismantle e-waste, which are or will be managed mainly by the private sector. Sustainable Business models including financial mechanisms will be established to attract the private sector to invest in the existing or established facilities.

Outcome 2.1: Existing and new e-waste dismantling and recycling facilities are operating efficiently and sustainably in participating countries

- Assess existing e-waste dismantling and recycling facilities at the country level and select those facilities to be scaled-up to meet international standards
- Scale-up selected facilities using BAT/BEP, without interrupting their operations, if possible
- Establish new facilities applying BAT/BEP in countries where no facility exists and start their operations
- Support the facilities to establish sustainable business models to attract the investment of the private sector to secure a long-term operation

## **Component 3 - Enhancement of regional cooperation on e-waste management**

The regional harmonization of national policies regarding e-waste management is one major objective of the proposed project. Some attempts to establish a regional or subregional approach have been already initiated in the region, but so far the regional exchange of knowledge and regional cooperation are rather weak. The GEF funding will be used to strengthen this cooperation and to enhance South-South cooperation in LAC in a way that has been devised with the participating countries. To build on ongoing and past experiences, cooperation with RELAC (the Regional Latin American and Caribbean Platform for Electronic Waste) and five Regional Centers of the Basel and Stockholm Conventions (linked to the participating countries) is emphasized during the implementation of the regional component. RELAC is a well recognized multi-sectoral network for LAC aiming at the promotion of sustainable WEEE management with focus on its environmental, economic and social aspects, and acts already as an information depository. The combined BC and SC Center in Uruguay, the BC Centers in Argentina and El Salvador, and the SC Centers in Brazil and Panama will also play an important role for project implementation, not only in their home countries, but also for all the participating countries. The participation of the Basel Convention Centers is essential to address the issues related to transboundary movement of hazardous wastes within the region and to help implement the MEAs on chemicals and wastes more efficiently.

To achieve regional cooperation, the following outcomes and illustrative activities are defined:

Outcome 3.1: Key issues of e-waste policies are harmonized at the regional level, with due consideration of the relevant MEAs and main mechanisms like the SAICM

- Assess national policies and identify issues that need to be addressed at the regional level, e.g.: transboundary movement of hazardous waste
- Establish a regional policy platform to facilitate the implementation of a harmonized approach of MEAs like the Basel Convention, the Stockholm Convention and SAICM
- Ensure a common understanding and a comprehensive interpretation of the Stockholm and Basel

conventions, on issues related to the project, throughout the region.

Outcome 3.2: Knowledge management systems and information exchange are strengthened

- Set-up of a regional knowledge management system integrated in the policy platform to facilitate information and knowledge exchange in the region.
- Link the national information platforms to the regional knowledge management system

Outcome 3.3: South-South cooperation is enhanced

- Support cooperation between countries in terms of workshops and trainings to implement MEAs
- Develop activities to facilitate post-project planning and strengthening of the cooperation on a regional level

#### **Component 4 – Project Monitoring and Evaluation**

To facilitate sustainable monitoring and evaluation of the project on a regional and national level, a M&E framework will be developed during the PPG phase, so the implementers and executors of project activities can monitor them. In addition, experts will be recruited to undertake mid-term and final evaluations. The evaluation will focus on the lessons learned at the national and regional levels.

Further, throughout the whole project implementation at national and regional levels, activities will be monitored according to indicators set in the detailed project document. The continuous monitoring activities will be led by the UNIDO project manager. Semiannual project reports will outline the achievements on a regular basis. Based on the reports, if necessary, the project manager can take measures to keep the project focus and in line with its objectives.

According to the Monitoring and Evaluation policies of the GEF and UNIDO, follow-up studies like Country Portfolio Evaluations and Thematic Evaluations can be initiated and conducted. All project partners and contractors are obliged to (i) make available studies, reports and other documentation related to the project and (ii) facilitate interviews with staff involved in the project activities.

#### **4) Incremental cost reasoning and expected contributions from the baseline, the GEFTE, LDCE/SCCF and co-financing**

16. Some of the participating countries in this project have been already tackling their e-waste management challenges; however, environmentally sound management and disposal of WEEE has not yet been achieved within their territories or at the regional level.

17. Without the involvement of the GEF, this “*business-as-usual*” scenario will probably continue, which would mean that WEEE streams would be managed just as other municipal waste streams, without due attention to their particular characteristics and properties such as the likelihood of containing significant amounts of persistent organic pollutants or the potential for lending themselves to the recovery of highly valuable recyclable materials contained within them.

18. The activities will build upon existing initiatives, as described in Table 1 above, which summarizes the current status of e-waste policies in the participating countries as well as the existing recycling initiatives. These baseline scenarios will be analyzed in further detail during the PPG phase, so an efficient and effective planning and implementation of the proposed activities can be ensured to link appropriately the national, sub-regional and regional activities.

19. Comparing and contrasting the proposed project results, its components, outcomes and outputs, with the baseline scenario, it appears that the GEF involvement is essential to ensure that: (1) the e-waste national and regional policies of the participating countries are harmonized on key issues regarding the applicable MEAs and aligned with the phasing out of POPs and the reduction of POPs releases; (2) the national e-waste dismantling and recycling facilities operate efficiently and sustainably (3) the national and regional capacity for e-waste management is in place, including training, education, research,

information and knowledge management; (4) the national and regional society is informed and aware of e-waste issues and their link with the POPs; (5) the South-South cooperation on e-waste is enhanced among the participating countries.

20. Therefore, the GEF funding will be used to support those national and regional activities that would not occur without its involvement and also to strengthen the regional cooperation with regard to e-waste management. The role of the GEF funding will be also to attract substantial co-financing provided by other stakeholders at the national, regional and global level.

#### **5) Global environmental benefits (GEFTF, NPIF) and adaptation benefits (LDCF/SCCF)**

21. Without GEF intervention the ongoing scenario will result in dilapidated opportunities to develop processes of reutilization of EEE, recycling of WEEE and recovery of valuable materials which in turn generate livelihood opportunities, particularly for the poor.

22. The GEF supported activities will facilitate coordination at the regional level and strengthen cooperation within and among the participating countries. Without the GEF funding, regional coordination is not likely to be strengthened, and the business as usual scenario would prevail leading to a growing technology and policy gap among the participating countries regarding their national e-waste management strategies. This may hamper the successful implementation of the Stockholm and Basel Conventions in the region.

23. Consequently, proper e-waste management in the participating countries will bring global environmental benefits that fit with the priorities set within the framework of the GEF-5 Strategy on Chemicals. In particular, the project will contribute to reduce the exposure to POPs and other toxic substances to humans and wildlife. In particular, it will address the first objective of the aforementioned strategy, which deals with the phasing out of POPs and the reduction of POPs releases.

#### **6) Innovativeness, sustainability and potential for scaling up**

24. The project promotes a closed-loop approach for POPs contaminated waste with special focus on e-waste and enhances South-South cooperation. Through the establishment of national e-waste management strategies and the regional support for cooperation, a sustainable solution for the national and regional e-waste problems will be devised in LAC. The project framework will take into account a variety of specific national interests of the participating countries and their different particular levels of progress in the management of WEEE. In addition, it involves a large number of national, regional and global stakeholders that are already working or ready to work on WEEE, who will coordinate effectively, among other means, through periodic communications, blogs, workshops, 'train the trainer' and educational activities, and the establishment of business models for the recycling facilities.

25. The project focuses on scaling up national activities and strengthening regional cooperation. Regarding the national project component, the countries are able to select from a set of possible activities and to tailor them to their particular circumstances. For example, countries with less advanced policies could choose under expected outcome 1.1 to focus on the drafting or reviewing of the national e-waste management policies and regulations, whereas other countries with more advanced policy frameworks may like to consider focusing on activities to strengthen their technical guidelines or to define national financial mechanisms. This individual approach will ensure that each single country gets what is suitable for it and all will benefit as much as possible from the national and regional activities.

26. International and regional standards will be introduced when scaling-up or setting up the dismantling and recycling facilities. This will help to justify transboundary movement within the subregions and region. As it will not be possible to treat each fraction within every country, well established connections with certified recycling facilities will be required within the region to ensure environmentally sound treatment of all waste fractions. Further cooperation with international smelters will be required to handle hazardous waste in a sustainable way and secure the maximum recovery rate of precious metals.

27. Sustainable business models will be established for the existing or newly set-up e-waste management facilities. This will attract the private sector to invest on e-waste management at the country level to support the long term impact and sustainability.

28. The regional activities will build on the national activities and experiences achieved by the individual countries and will constitute a space of mutual exchange and cooperation and even a showcase for other regions. For example, future activities in Africa or Asia, aimed at strengthening regional cooperation could be based on the regional experiences gained in LAC. Ultimately, regional approaches are needed to efficiently recycle WEEE and recover precious metals and rare materials in an environmentally sound manner.

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

29. During project preparation, UNIDO has been involved with a variety of stakeholders in Latin America and it aims to increase this group with further identification of partners in each participating country, to seek their involvement and empowerment. The group of key stakeholders at the moment include: governmental institutions (especially ministries dealing with environmental, health, industrial, research and scientific issues), Basel Convention Centers (in Argentina, El Salvador and Uruguay), Stockholm Convention Centers (in Brazil, Panama and Uruguay), the RELAC, manufacturers of EEE, and the GEF. The main roles of these stakeholders will be aligned to support project implementation on a national and regional level. The Regional Centers and RELAC will be involved mainly in the development of regional activities, whereas national governments and local partners will focus mainly on the development and implementation of the national activities and initiatives. Within each country, more specific stakeholders will be identified during the PPG phase, including collectors, dismantlers, refurbishers and recyclers; owners of e-waste, researchers, academicians, national cleaner production centers, and policy makers dealing with e-waste.

30. The implementation of this project will build on the coordinated capacities of the national and regional partners. The politically-oriented activities will be implemented with the involvement of high-level public officials and senior partners, while the technical matters and the demonstration activities will be implemented jointly by the technically-oriented contributors, in coordination with the corresponding authorities.

31. Last, but not least, during the project preparation phase, candidate facilities, additional private and public sector partners and civil society organizations will be identified. Among the local civil society organizations, inclusion of women's groups will help mainstream gender issues throughout project design and implementation.

32. The following tables contain a preliminary stakeholder analysis, which will be further developed during the project preparation phase.

**TABLE 2 Preliminary Stakeholder Analysis at the national level**

<b>Stakeholder</b>	<b>Interest/ Expectations</b>	<b>Impact</b>
Collectors	- Increased number of jobs	+
Dismantlers	- Better Business opportunities	
Recyclers	- Getting training / equipment - Awareness raising focusing on gender aspects	
Owners of e-waste	- Getting a safe disposal option	+
National Governments	- National policy development	+
Private sector	- Business investment	+

**TABLE 3 Additional Stakeholder Analysis at the regional level (during PPG phase)**

Stakeholder	Interest/ Expectations	Impact
Government (Environment and Health)	<ul style="list-style-type: none"> <li>- Safe disposal in the region</li> <li>- Policies in place</li> <li>- Long-term solutions</li> </ul>	+
Government (Industrial)		
Government Research and Science		
SC Center, BC Centers and RELAC	<ul style="list-style-type: none"> <li>- Environmentally sound e-waste management in the LAC region</li> </ul>	+
Manufacturers	<ul style="list-style-type: none"> <li>- Implement EPR principle</li> <li>- Resource recovery</li> </ul>	+/-

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

33. Main project risks will be carefully assessed with the national counterparts during project preparation (PPG phase) and the corresponding mitigation measures will be designed and ready to be implemented. The following table contains a preliminary illustrative risk analysis:

**TABLE 4 Preliminary Illustrative Risk Analysis**

Risk	Level	Mitigation
The current high interest of the government, NGOs and CBOs in the issue of e-waste management could drop if the interest of the government changes, which will reduce support of the initiatives, thus affecting project implementation and its sustainability.	L	<p>Ensure good communication among all stakeholders and help them with information/ knowledge sharing mechanisms to enhance South-South cooperation.</p> <p>During the project implementation time will be used for post-project planning, especially on a regional level to involve regional institutions and national governments.</p> <p>Establishment of sustainable business models for the facilities to ensure long-term planning and attract investors.</p>
Enforcement of e-waste management strategy, collection scheme and treatment options are not working properly, so e-waste is not reaching the formal waste streams and there is insufficient input for the dismantling and recycling facilities, and inappropriate treatment of some fractions.	L	<p>Develop careful planning and communication with the respective stakeholders and give them trainings.</p> <p>Ensure proper design of the collection scheme in cooperation with national organizations and pilot it on a small scale.</p> <p>Organize frequent training and capacity building activities and implement internationally recognized standards at the facilities.</p>
Informal sector will continue its activities or even become stronger, so a substantial amount of e-waste will not reach the appropriate facility/ recycling stream.	M	<p>Establish attractive options, including business models, with participation of the informal sector (waste collection, dismantling and recycling activities) to ensure economic sustainability, and integrate them already during the planning stage of the collection scheme.</p> <p>Ensure a good relation between the staff of the facilities and the informal sector.</p>
Countries in the region do not		Organize regional meetings and workshops to discuss the



have a common understanding of MEAs nor of the options for e-waste management in the region	L	joint implementation of MEAs and related projects. Establish an information platform to facilitate the communication between countries.
Project's contribution to Climate Change is high.	L	The project will deal with selected EEE and WEEE without ODS. If cooling appliances are included, they will be managed with utmost care so ODS will not be emitted to the environment. Thus, the risk that the project will contribute to Climate Change is very low.
Dismantling facilities are not economically sustainable	M	During the planning and set-up / up-scaling of dismantling facilities the economic sustainability of them will be considered and business plans will be developed to ensure their economic viability. Sustainable business models will be established to make the business attractive to the private sector.
Transboundary movement of hazardous waste might occur in an inappropriate way	M	of The sub-regional and regional activities will include workshops in cooperation with the Basel Convention and Stockholm Convention Secretariat and Regional Centers to raise awareness on the issue of transboundary movement of hazardous waste and find appropriate solutions.  Control and monitoring instruments will be established.

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

34. UNIDO is already coordinating with a variety of national and regional stakeholders in Latin America, particularly with governments, the Basel Convention Centers in Argentina and El Salvador, the Stockholm Convention Centers in Brazil and Panama, the RELAC initiative, manufacturers of EEE, and the GEF.

35. To coordinate the activities on the ground, national and regional coordinators will be recruited. The national coordinators will focus on a successful implementation of activities and coordinate them within the country. Further they will liaise with the regional coordinator to align the activities with the initiatives of the other countries and promote their developments.

The regional coordinator will be responsible to harmonize the activities throughout the region and promote regional activities, and support the countries to exchange information and knowledge. The regional coordinator will work in very close cooperation with UNIDO project manager and the existing regional networks.

36. UNIDO is currently assisting the reviewing and updating of the SC NIPs for Mexico, Honduras, Costa Rica, Nicaragua, Guatemala, Venezuela, Ecuador, Peru and Bolivia. In addition, UNEP is assisting Chile, Argentina, Uruguay and Paraguay in reviewing and updating their NIPs. Since e-waste management has high priority in the region, these NIP review and update processes are likely to deal in depth with some of the new POPs, particularly with polybrominated diphenyl ethers (PBDEs) and pentachlorobenzene (PeCB), which are mainly associated with plastics present in e-waste streams and with unintentional emissions from EEE and combustion-related processes. Therefore, the proposed project has close linkages with the respective NIP updates, and thus frequent information exchange will occur to help coordinate project activities and overcome unnecessary duplication.

37. Further, UNIDO will make use of the existing RECPnet to coordinate activities and to ensure sustainability after the project completion. The members of the RECPnet will be involved in project implementation at the national and regional levels. The existing regional knowledge management

platform will serve as a starting point for information exchange and harmonization of activities.

38. The Swiss organization EMPA is very active in e-waste management in Peru and Colombia. Frequent discussion and knowledge exchange with them during project development and implementation will overcome potential duplication and overlap of activities.

39. Under the Global Partnership on Waste Management and the StEP Initiative, coordination with other organizations implementing e-waste related projects in the LAC region and worldwide is ongoing and will be further strengthened.

40. All the above mentioned activities, existing networks and created structures will help UNIDO and the project partners to implement the planned activities within the region and in the specific field of e-waste management. Further, UNIDO rely on established contacts at the national, regional and international levels.

41. Frequent information exchange with international experts helps UNIDO to stay informed about the most recent developments in terms of global project activities, policy enforcements as well as newly developed technologies.

Description of the consistency of the project with:

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

42. The proposed project is consistent with the e-waste national strategies and plans of the participant countries, wherever they are applicable. Further, it fits within their commitments under the Basel and Stockholm Conventions and addresses issues related to the new POPs present in WEEE, particularly brominated flame retardants (POP-PBDEs). In addition, the project will build on the SC-NIP review and update process that is currently being developed in the Region. In this regard, UNIDO is currently assisting eight of the countries involved in this project (Bolivia, Costa Rica, Ecuador, Guatemala, Honduras, Nicaragua, Peru, and Venezuela).

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

43. The GEF-5 Sound Chemicals Strategy has the overarching goal “to promote 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 global environment.” The proposed project will contribute mainly to the first objective of the Chemicals Strategy, namely to “Phase out POPs and reduce POPs release”; however, the project has also very close linkages to the third objective to “pilot sound chemicals management and mercury reduction” as pilot facilities will be scaled-up or set up to reduce POPs released primarily from unsound treatment of WEEE. In general WEEE contains several hazardous chemicals like cadmium, beryllium, lead and others which have severe impacts on human health; therefore, the proposed project is in line with the above mentioned overarching goal of the GEF-5 Sound Chemicals Strategy.

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

44. For the GEF, UNIDO’s comparative advantage “is that it can involve the industrial sector in GEF projects in the following areas: industrial energy efficiency, renewable energy services, water management, chemicals management (including POP and ODS), and biotechnology. UNIDO also has extensive knowledge of small and medium enterprises (SME’s) in developing and transition economy countries.” In addition, UNIDO has a strong international network in the field of e-waste management and is a member of the Solving the E-waste Problem (StEP) Initiative. It is also the lead organization of the e-waste focal area within the Global Partnership on Waste Management (GPWM). Further, UNIDO has ongoing projects in Uganda, Tanzania and Ethiopia (GEF co-financed) to improve the e-waste management situation. The experiences gained through the implementation of the projects in Africa and the existing network of professionals in the LAC region as well as the National Cleaner Production Centers will help UNIDO to successfully implement the proposed projects in partnership with the countries.


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

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

<b>NAME</b>	<b>POSITION</b>	<b>MINISTRY</b>	<b>DATE (MM/dd/yyyy)</b>
Dr. Diana Celia VEGA	Director	Secretary of Environment and Sustainable Development; Argentina	07/26/2013
Mr. Roberto Ingemar SALVATIERRA ZAPATA	Vice Minister for Environment, Biodiversity, Climate Change and Forest Management and Development	Ministry of Environment and Water; Bolivia	09/13/2013
Ms. Ximena GEORGE-NASCIMENTO	Secretaria de Relaciones Internacionales	Ministerio del Medio Ambiente/ Ministry of Environment; Chile	07/23/2013
Mr. Ruben MUNOZ ROBLES	Director, International Cooperation	Ministry of Environment, Energy and Telecommunication; Costa Rica	07/22/2013
H.E. Mrs. Lorena TAPIA	Minister	Ministry of Environment; Ecuador	06/24/2013
Mr. Herman ROSA CHAVEZ	Minister	Ministry of Environment and Natural Resources; El Salvador	07/10/2013
H.E. Mrs. Marcia Roxana SOBENES GARCIA	Minister	Ministry of Environmental and Natural Resources; Guatemala	07/24/2013
Ms. Irina Helena PINEDA AGUILAR	Director of External Cooperation and Resource Mobilization Unit	Secretariat of Natural Resources and Environment (SERNA); Honduras	06/28/2013
Mr. Roberto ARAQUISTAIN CISNEROS	Vice minister	Ministry of Environment and Natural Resources – MARENA;	08/12/2013

		Nicaragua	
Mr. Abraham HERRERA JEFE	Director	National Environment Authority; Panama	07/24/2013
Mr. Jose Antonio GONZALEZ NORRIS	Director of the International Cooperation and Negotiations Directorate	Ministry of Environment; Peru	07/19/2013
Lic. Silvia FERNANDEZ	Advisor on International Relations and Cooperation	Ministry of Housing, Land Planning and Environment; Uruguay	07/17/2013
Lic. Neila GONZALEZ	General Director of International Management and Cooperation	Ministry of the People's Power for the Environment; Venezuela	08/26/2013

#### B. GEF AGENCY(IES) CERTIFICATION

<b>This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.</b>					
Agency Coordinator , Agency name	Signature	DATE (MM/dd/yy yy)	Project Contact Person	Telephone	Email Address
Mr. Phillipe Scholtès, Officer-in-Charge, Programme Development and Technical Cooperation Division (PTC) UNIDO GEF Focal Point		10/29/2013	Mr. Alfredo Cueva 	+43 1 26026 5228	A.Cueva@unido.org