

1- Identification

1.1 Project details

GEF ID	9697	Umoja No:	SB-007342	
Project Title	Global Knowledge Management and Exchange of Child Project Results Through Networking and Outreach Activities for the GEF GOLD Program			
Duration months	<i>Planned</i>	60	GEF financing amount	USD 8,000,000
	<i>Extension</i>	-	Co-financing amount	USD 17,767,604
Division(s) Implementing the project	Economy Division, GEF Chemicals and Waste, Chemicals and Health Branch		Date of CEO Endorsement	7-Aug-18
Name of co-implementing Agency	-		Start of Implementation	5-Nov-18
Executing Agency(is)	Natural Resources Defense Council		Date of first disbursement	21-Nov-18
Names of Other Project Partners	UNEP Chemicals Branch; Artisanal Gold Council; Arrowhead Films		Total disbursement as of 30 June	USD 2,812,634
Project Type	FSP - Child Project		Total expenditure as of 30 June	USD 2,739,148
Project Scope	Global		Expected Mid-Term Date	30-Sep-22
Region (<i>delete as appropriate</i>)	Global		Completion Date	<i>Planned</i> 30-Sep-24
Names of Beneficiary Countries	Global			<i>Revised</i> -
Programme of Work	PoW 5: Chemicals, waste and air quality		Expected Terminal Evaluation Date	1-Jun-24
GEF Focal Area(s)	Chemicals and Waste		Expected Financial Closure Date	1-Jun-24
EA: UNSDCF/UNDAF linkages	N/A (global project)			
EA: Link to relevant SDG target(s) & indicator(s)	SDG3.9: By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination; SDG 12.4: By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment. Also SDG 17.7: Promote the development, transfer, dissemination and diffusion of environmentally sound technologies to developing countries on favorable terms, including on concessional and preferential terms, as mutually agreed; SDG 17.17 Encourage and promote effective public, public-private and civil society partnerships, building on the experience and resourcing strategies of partnerships			

1.2 Project description

The planetGOLD programme works in partnership with governments, the private sector, and communities in eight countries to reduce mercury use and to significantly improve the production practices and work environment of artisanal and small-scale miners, thereby improving the lives of more than 100 million people who rely on this industry directly or indirectly for their livelihoods. The programme as a whole includes work on formalization, access to finance and formal markets and transfer of mercury free technology. The global project supports and coordinates these efforts. Executed by the leaders of the Global Mercury Partnership (NRDC, UNEP and UNIDO), the planetGOLD global project has the following components: (1) outreach to the finance and facilitating engagement of formal markets; (2) knowledge management; and (3) communications. Please note that a memo listing outputs and activities and associated deliverables for the reporting period can be found at this link: https://nrdc1-my.sharepoint.com/:w:/g/personal/skeane_nrdc_org/EdVatT7GacJKoEDqmiKDIYBXO3hBr85gof2J54sblgPzQ?e=TUgpTj

1.3 History of project revisions

Version	Date	Main changes introduced in this revision
CEO endorsement	08/07/2018	

2- OVERVIEW OF PROJECT STATUS

2.1 UNEP PoW

UN Environment Subprogramme(s)

Subprogramme 5: Chemicals, waste and air quality

Specify the relevant Expected Accomplishment(s) & Indicator(s)

PoW 5: (a) (i)

TM: Progress towards delivering the stated PoW

This is a global project so while there is no specific countries activities, a number of private sector and NGO partners are involved in the implementation and are expected to adopt the recommendations and tools created. Over the last 12 months, the project, through its PAG, developed the planetGOLD standard which will be used by the gold buyers of the programme's demonstration sites. Country projects, Refiners, gold consumers, investors, NGOs and experts are member of the PAG.

2.2. GEF Core Indicators

GEF Core Indicators

Increase in phase-out, disposal and reduction of releases of POPs, ODS, mercury and other chemicals of global concern

This is a global project so the reduction amount is a replication factor based on the child projects

Indicative expected Results

123 metric tons of Hg

-

TM: GEF core indicators targeted by the

Indicators	Expected value at	
	Mid-term	End-of-project

TM

PIR #

FY 2021

2nd

Rating towards outcomes

S

Rating towards outputs

HS

Risk rating

L

FY 2020

1st

MS

HS

L

sk*

2.3 Impl status & ri

Summary of status.

During this second reporting period, the global project has continued to make progress on its main pillars: improving access to finance to ASGM, supporting knowledge exchange and increasing communications that accent the positive development potential of the ASGM sector. The project's research on ASGM finance experience and interviews with the socially responsible investment community has yielded critical insights about how to focus further outreach with potential financiers, as well as how to formulate financial assessment and management tools that address risk concerns. To support access to formal markets, the project further disseminated and socialized the planetGOLD responsible sourcing criteria, and pilots for their implementation have been initiated. Despite the postponement of the global forum, the project has still engaged actively in other avenues of knowledge exchange, through the planetGOLD website as well as through webinars (our own and presenting in others' events). Finally, the communications component has been very robust, producing videos, original content for the website, posting on social media and supporting online events, as well as leading the community of practice among communications specialists in the country projects. Although the project has made good progress, COVID-19 has continued to be major challenge. The prohibition on field work in planetGOLD countries has limited the accumulation of new knowledge and hinders the ability to attract interested financial entities who required detailed understanding of the ASGM operations. However, some of the countries have resumed field work and we hope to see accelerated progress this year.

*section will be uploaded into the GEF Portal

2.4 Co-finance

EA:Planned Co-finance (total only)

USD 17,767,604

EA: Actual to date:

USD 11,909,350 (67%) as of July 30,2021

EA: Justify progress in terms of materialization of expected co-finance. State any relevant challenges.

The project has made good progress in terms of materialization of the expected co-finance. About 60 percent of the co-finance has been realized, which is on track considering that we are not yet half-way through the program. There have been some challenges - one small cofinancer, AMDC, is no longer in operation; and another, CIRDI, was bought out by another organization. The future co-finance from these groups is now unclear. However, these losses have been offset but higher than expected co-finance from others, including RESOLV and AGC.

Instruction to EA: Add additional text

EA: Stakeholder engagement (will be uploaded to GEF Portal)

A Programme Advisory Group (PAG) consisting of representatives from academia, finance, gold buyers, governments and NGOs was established in the first year of the program and has continued. Meetings are held approximately four times per year to provide updates and solicit advice from these stakeholders. This year, we have modified the structure of the PAG to include longer PAG meetings and form subcommittees, to encourage even deeper engagement. The project has continued to conduct outreach to the international financial community, through major conferences, including PDAC (the largest global mining investment conference), where we had a virtual booth; however this activity has been curtailed somewhat due to COVID. Instead, the team has focused on more one-on-one discussions with dozens of individuals from the finance industry to educate, engage and advocate for investment in ASGM, including in-depth personal research with the SRI community.. The team also reached out to the broader ASGM community of practice as well as downstream buyers through hosting virtual events, as well as making presentations at a number of webinars held by others, including with the Impact Facility, the Amazon Investors Coalition, the World Bank, UNDP and others (see performance under Component 2 for details). We have also engaged individually with OECD, World Gold Council, and other international bodies to align their initiatives with planetGOLD. Unfortunately due to COVID, our in-person Global Forum was further postponed but will be held virtually in 2022.

EA: Gender mainstreaming (will be uploaded to GEF Portal)

The project promotes the dissemination of information about, and voices of, female miners. In particular, the planetGOLD website resource library contains many reference materials on women in ASM and we are developing a gender-ASGM resources webpage for easy access to information. We also promoted social media participation in an event on International Women's Day to support female miners; and have featured other blogs and news items as well on the website. We also facilitated the first meeting of the gender specialists across the planetGOLD program so that they could exchange ideas. On another note, the chair of the PAG is female.

EA: Environmental and social safeguards management (will be uploaded to GEF Portal)

To establish a common set of environmental and social safeguards among planetGOLD beneficiary ASGM operations, in Year 1, the project developed, vetted and finalized the "planetGOLD Criteria for Environmentally and Socially Responsible Operations" and also created a practical guide to the implementation process. We arranged for online training in Spanish and English, for our country project managers on the implementation of these criteria. This year has seen further training and work to use these criteria during supply chain pilots being planned by the country projects. To support training for government officials in Indonesia,, we prepared a training presentation, explaining how the Criteria and how they synchronize with the OECD and CRAFT standards. We are preparing a Terms of Reference for a consultant who specializes on Free, Prior and Informed Consent top develop recommended best practices for engagement with Indigenous Communities, which is part of the criteria.

EA: Knowledge activities and products (will be uploaded to GEF Portal)

The planetGOLD website, the key mechanism for knowledge sharing, was designed and commissioned in 2019 (see www.planetgold.org). In 2020-2021, work was undertaken to refine the website, especially the country-specific pages, to better suit the needs of the country projects. The project continues to develop content for the website, summarizing key ASGM issues and curating and populating the Resource library, now with over 370 (and growing) relevant publications from the global literature and ASGM projects around the world. The site now has special pages specific to COVID-19; a collection of awareness raising materials on mercury and ASGM; due diligence, and contributions to the Voices page (blogs). This year the global project commissioned synthesis reports on best practices in the use of cyanide in ASGM, and an in-depth study of barriers to the SRI community investment in ASGM. The project also held public webinars on: (1) ASGM access to finance and (2) an anniversary event marking two years of planetGOLD implementation, which also saw the launch of the first annual program report. The project held a multi-lingual virtual meeting for the technical specialists of the country projects to share their plans for mercury-free technologies.

EA: Stories to be shared (will be shared with UNEP & GEF communication division)

As a knowledge management and communications project, there are many materials that we routinely share with all stakeholders, We have published regular blog articles, news updates, and other original content on the programme website and on its online photo story platform, including: photo stories on women miners in Colombia, on mercury-free mining equipment demonstrations in Peru, and on programme pledges to challenge gender inequities in ASGM for International Women's Day; articles from project countries featuring recent activities and interviews with local mining communities, including several profiles and reflections on women miners; awareness raising materials for several countries on the dangers of mercury and on preventing COVID-19, including videos, radio ads/podcasts, posters, comic books, booklets, social media/WhatsApp graphics, and an interactive landing page; video interviews with miners in Guyana; and a series of guest articles from authors including the Minamata Convention on Mercury Secretariat, the World Gold Council, and experts in the global ASGM community. Additional assets created by the global project include: a 2-minute animated "explainer" video; 9 different country highlight videos and one programme-wide highlight video for the planetGOLD In Review anniversary event; a "message from the miners" video; social media kits for dissemination to programme participants and partners; original content created by the global project on its LinkedIn, Twitter and Facebook accounts; and a quarterly email newsletter.

*section will be uploaded into the GEF Portal

3. RATING PROJECT PERFORMANCE

3.1 Rating of progress towards achieving the project outcomes

Project objective and Outcomes	Indicator	Baseline level	Mid-Term Target	End of Project Target	EA: Summary by the EA of attainment of the indicator & target as of 30 June	TM: Progress rating
Objective						
Financial resources for the ASGM sector are secured to transition to mercury-free mining techniques	Amount of money made available by investors or financial institutions for transition to mercury free techniques, resulting from both country level and global level activities	Sector is severely undercapitalized with miners unable to access funding. Lack of capital is a major barrier for the ability to adopt mercury free technology.	50% of the targeted amount intended to the accessed through financial mechanisms in country-level and global-level projects is deployed	100% of the targeted amount intended to the accessed through financial mechanisms in country-level and global level projects is deployed	The global project has produced relevant research and made substantial progress in introducing ASGM to the international finance community, and in garnering interest of some investors. We are also supporting country projects with the development of business management and evaluation tools and facilitating collaboration of country finance specialists. However, the project ultimately relies on having ASGM beneficiaries who are ready to seek and receive finance. Due to COVID-related delays, the country projects are still in the process of working with sites to determine the financing requirements and developing relevant national level financials instruments, so finance has not yet started to flow.	MS
	# miners/communities/ associations accessing credit in country level projects (including gender indicators) on transitioning to mercury-free mining techniques	see above	50% of the miners/ communities/ associations targeted by the country projects are assisted At least 50% of miners accessing finance are	100% of the miners/ communities/ associations targeted by the country projects are assisted At least	As mentioned above, due to COVID, site selection and capacity building of ASGM beneficiaries, assessing financing needs, as well as development of financial mechanisms, was delayed and thus flow of finance has also been delayed. The development of concrete finance mechanisms is still ongoing in the planetGOLD countries.	S
Outcome 1						
Financial service providers and investors who are new to the GOLD Programme access guidance on financial schemes to engage ASGM sector.	#of new investors/service providers create access to finance e ASGM sector through the GEF GOLD global programme	Lack of investors is one of the main barriers to the development of non-mercury ASGM operations	3 new investors/provider	10 new investors/ providers	The global project has conducted outreach through finance conferences and one on one discussions with dozens of finance specialists to educate and identify potentially interested investors (and downstream buyers who may pre-finance). In one case, an investor has begun discussions with processing facilities that process ASGM gold ore. In at least one other country, a downstream buyer (refiner) is investigating the possibility of prefinancing some miners. However in both cases, these talks are in early stages. One barrier that investors have identified is lack of clearly investible projects, so we have increased our focus on working with the country projects to assist them in the development of national finance mechanisms and to identify promising ASGM projects that could be made investment-ready. Hopefully as COVID recedes and direct contact with miners becomes easier these activities can accelerate.	S
	#SRI funds that change their investment guidance to include consideration of the ASGM sector	see above	2 SRI funds change their principles to encourage some investment in the ASGM sector	8 SRI funds change their principles to encourage some investment in the ASGM sector	Building on outreach conducted in Year 1, the project has continued outreach to SRI fund managers and other investors to increase their knowledge on ASGM as an investment opportunity. We also commissioned an in-depth background research report, which included interviews with key SRI investors. At least some interviewees mentioned learning about ASGM through our presence at PDAC and our access to finance report. We discovered the many SRIs actually do not have an explicit written no-mining mandate, but fund managers nonetheless consider mining off-limits because it goes against broader written mandates not to invest in industries with	S
Outcome 2						

Project-participating countries and the wider ASGM community increasingly share, access and apply knowledge on global experiences to assist the development and implementation in formalization, access to finance and technology transfer	# of users who download educational materials and information	Information is currently widely scattered, often not available electronically, and not yet synthesized in a manner useful to Parties developing a NAP	100 visitors by country who download and report using information	200 visitors by country who download and report using information	As of June 20, 2021, the website analytics reported: 46,537 global visitors (Burkina Faso: 3.3K; Colombia: 3.1K; Ecuador: 1.3K; Guyana: 1.3K; Indonesia: 1.1K; Kenya: 2.4K; Mongolia: 1.3; Peru: 7.9K; Philippines: 7K). The web page most visited was: COVID-19 Awareness Raising Materials for Miners & Local Communities. Number of country visitor downloads: Burkina Faso: 46; Colombia: 645; Ecuador: 98; Guyana: 84; Indonesia: 128; Kenya: 93; Mongolia: 97; Peru: 2,030; Philippines: 584. Most popular document download: Colombia: Como se que tengo coronavirus? (743); total pdf document downloads: 6,577. See: https://datastudio.google.com/reporting/59c44432-6a76-4fb5-a6ee-ebbb786287a1/page/1M	HS
	# of users reporting application of the knowledge gained through surveys	see above			We do not have data on this indicator yet, but in 2022 (around mid-term) we are planning to disseminate a survey inquiring about: (1) ease of navigation of the website, (2) whether the products useful and how, (3) how the site could be improved and what users might want to see more of. The survey will be disseminated to the Global Mercury Partnership ASGM Area, DC Roundtable, GMP, PAG, planetGOLD newsletter listservs, and other groups. We will also create surveys to follow webinars and knowledge dissemination meetings to gather feedback on their usefulness.	S

Outcome 3

Support among the governments, stakeholders, mining communities or financial sector and international media for reduced mercury use in ASGM is increased	# of government agencies and financial sector institutions in GEF GOLD countries that issue more balanced public policy statements on ASGM	ASGM is misunderstood in many countries. Many people have not heard of ASGM.	Government agencies or financial institutions in 3 GEF GOLD countries issue new policy statements	Government agencies or financial institutions in 7 GEF GOLD countries issue new policy statements	The planetGOLD programme country projects (Colombia, Indonesia, Mongolia, Peru, for example) have engaged in a great deal of education, awareness raising and capacity building at national and local levels of government and with financial institutions, to make them aware of the benefits of a well-governed ASGM sector. The Indonesia project in particular has had success with getting approval of regional action plans for ASGM and has seen the passage of a number of revised regulations to help the sector. Projects are also assisting governments with the development of policy statements and/or guidance on good ASGM practices, including work on Peru's National Policy on ASM and Commercialization, and Mongolia's Guidance on Good Mining Practices for ASGM. Overall these indicate movement of governments to have a more positive and practical stance on ASGM, and a willingness to improve its governance.	S
	# of media publishing balanced media stories in international press		One balanced media story in international press	Three balanced media stories in international press	The project has created a running media list, made initial contact with a handful of reporters, and was instrumental in the development of an October 2020 feature story in Mine Magazine. Due to delays in project field implementation, no stories have yet been proactively pitched to the media because: 1) country projects have not yet progressed enough with mine sites to have mercury-free gold production that journalists can visit and report on, and 2) the Global Forum, where we aimed to provide positive information about the sector to international press, was postponed to 2022. However, as reported below, the project has engaged in a range of communication channels to create interest and disseminate information about the programme.	S

Outcome 4

Project is evaluated according to GEF rules	-					
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3.2 Rating of progress implementation towards delivery of outputs

Output	EA: Expected completion date	Implementation status as of 30 June 2020 (%)	EA: Implementation status as of 30 June 2021 (%)	EA: Progress rating justification, description of challenges faced and explanations for any delay	TM: Progress rating
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Under Comp 1

1.1. Sensitization of potential financial institutions and investors to invest in the ASGM sector.	60 months	~22% of budget for 1.1 and 1.3 expended	~36% of budget for 1.1 and 1.3 expended	The financial team completed a study on barriers to investment, and using that study together with the study of global experience, created a synthesis report on access to finance for ASGM. Due to COVID, participation in conferences has been limited but the team participated in PDAC (including hosting a virtual "booth") as well as SOCAP. The team continued to make one on one contacts with investors, to lay groundwork for the future. However most investors are not yet ready to "plunge" until more concrete information is known about the specifics of the business opportunities with the ASGM entities. To address this, we have increased direct contact with the financial experts in the country projects, including through the Financial Action Network and one on one meetings. We further developed the Business Plan template for ASGM businesses, based on feedback from this country projects. We also identified the need to create an ASGM "technical report" format, similar to those used by investors to evaluate investments in large scale mining, and have started the work to create this, including getting recommendations from one investor/downstream buyer (who volunteered his assistance) on necessary content. The financial subcontractor also hired new staff with relevant expertise on this topic. To further lay the groundwork for engagement with downstream gold buyers, we continued to disseminate and train on the planetGOLD criteria, including creating a supplemental guide to the implementation process and translation to Spanish and French. A module introducing the criteria was created and shared with planetGOLD Indonesia for a	S
1.2 Unlock capital flows to the ASGM sector through financing specific opportunities for improvement.	60 months	postponed	postponed		MS
1.3 Socially responsible investment (SRI) Community members sensitized to remove barriers in their charters and/or other governing rules that are or may have been preventing them from investing in small scale gold mining.	60 months	~22% of budget for 1.1 and 1.3 expended	~36% of budget for 1.1 and 1.3 expended	The project has continued outreach to SRI funds, including through PDAC and the Amazon Investors' Coalition, as well as other one-off events such as the Impact Facility Webinar on ASGM Access to Finance, directed at SRIs. We also commissioned an in-depth background research report, which included interviews with key SRI investors, and used this to create a strategy for further engagement. Some SRI reps have agreed to participate in an advisory group	S

Under Comp 2

2.1 Knowledge from global experience, as well as from GEF-GOLD programme experiences in key ASGM topics (formalization, financing, market access and technology transfer), is collated and synthesized.	60 months	~19% of budget for component 2 expended	~34% of budget for component 2 expended	We continue to research, collect and curate literature on topics such as formalization, technology solutions, access to finance, gender and asgm, supply chain and awareness raising. We currently have over 370 resources in the knowledge repository of the website. With this group of resources we are creating a curated collection on the four thematic areas of the programme as well as on gender, ASGM, biodiversity and supply chain. We continue to	HS
2.2 Information is disseminated and shared among relevant stakeholders.	60 months	~19% of budget for component 2 expended	~34% of budget for component 2 expended	The planetGOLD website continues to serve as a resource library and a platform for the country projects to share their updates and learn from the experiences of their colleagues. Country projects continue to contribute to Voices (blog site) and the site features events such as the	HS
2.3 Results among country-level projects of the programme collected and analyzed to provide program-level results	60 months	~19% of budget for component 2 expended	~34% of budget for component 2 expended	With bi-monthly project manager conference calls, communication via listservs, WhatsApp groups, the Annual Programme Meeting and various project events, the project continues to grow its community of practice among project managers within the planetGOLD programme.	HS

Under Comp 3

3.1 Global branding of GEF GOLD programme identity established	6 months	100% budget for branding expended; branding completed	100% budget spent down, branding completed	This activity was completed in Year 1.	S
3.2 Proactive PR/media strategy executed, targeting general public, financial institutions and government agencies, to create more balance perception of impacts of ASGM.	30 months	~28% of budget for 3.2 and 3.3 expended	~55% of budget for 3.2 and 3.3 expended	On an ongoing basis, the project assembles media assets including photos and videos from country projects and other partners, to use in communications products promoting more positive perceptions of ASGM. Media tools and assets created and/or published by the project include: 9 country highlight videos; a programme-wide highlight video showing progress made	S
3.3 Communication efforts by all GEF GOLD projects are supported and reinforced.	60 months	~28% of budget for 3.2 and 3.3 expended	~55% of budget for 3.2 and 3.3 expended	The global project convenes regular calls with all project communications officers to exchange updates, lessons learned, and to identify potential story leads, while giving all communications officers access to a shared Google Drive for file sharing and storage as well as the Canva online	S

Table A. Risk-log

Implementation Status 2nd						
Risk	Risk affecting:	Risk Rating			Variation respect to last rating	
	Outcome / outputs	CEO ED	PIR 1	PIR 2	Δ	Justification
Change in the political and economic situation during the life time of the Programme impacts the implementation		Low	L	M	↑	COVID continues to affect the pace of implementation of country projects and thereby influencing the ability of the global project to collect and disseminate information on project implementation.
Failure to identify an appropriate investment model, and assurance of post-intervention sustainability.		Low	L	L	=	
Lack of coordination between various ASGM initiatives on the ground		Low		L	=	
Armed conflict, armed groups and/or tax-seeking behavior impeding the Programme's planned interventions		Moderate	L	L	=	
Prevailing cultural norms and practices (negative views on outsiders, resistance to change), prevent project activities		Low	L	L	=	
Language barrier communication/low education in the mining communities when the training workshops take place.		Low	L	L	=	
-		-				
Consolidated project risk		L		L		This section focuses on the variation. The overall rating is discussed in section 2.3.

Table B. Outstanding medium & high risks

List here only risks from Table A above that have a risk rating of **M or worse** in the **current PIR**

Risk	Actions decided during the previous reporting instance (PIRt-1, MTR, etc.)	Actions effectively undertaken this reporting period	Additional mitigation measures for the next periods		
			What	When	By whom
Impacts on project implementation	Emphasis actions that could be undertaken despite COVID to keep the program moving.	The project continued to work with country projects and international experts to create	The project will continue to focus on creating and sharing knowledge within COVID constraints.	ongoing	global and country project managers; communicators coordinators; knowledge

High Risk (H): There is a probability of greater than 75% that **assumptions** may fail to hold or materialize, and/or the project may face high risks.

Significant Risk (S): There is a probability of between 51% and 75% that **assumptions** may fail to hold and/or the project may face substantial risks.

Medium Risk (M): There is a probability of between 26% and 50% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.

Low Risk (L): There is a probability of up to 25% that **assumptions** may fail to hold or materialize, and/or the project may face only modest risks.