

## Global Opportunities for Long-Term Development of the Artisanal and Small-Scale Gold Mining Sector in Zimbabwe- GEF planetGOLD Zimbabwe

### General Project information

|                            |   |                         |           |
|----------------------------|---|-------------------------|-----------|
| Project Title:             | Global Opportunities for Long-Term Development of the Artisanal and Small-Scale Gold Mining Sector in Zimbabwe- GEF planetGOLD Zimbabwe |                         |           |
| Region:                    | Zimbabwe  | GEF Project ID:         | 11048     |
| Country(ies):              | Zimbabwe  | Type of Project:        | FSP       |
| GEF Agency(ies):           | UNEP  | GEF Agency ID:          |           |
| Executing Partner:         | IMPACT  | Executing Partner Type: | CSO       |
| GEF Focal Area (s):        | Chemicals and Waste   | Submission Date :       | 9/16/2022 |
| Project Sector (CCM Only): | Mixed & Others  |                         |           |

|                                    |  |                             |               |
|------------------------------------|--|-----------------------------|---------------|
| Taxonomy:                          | Focal Areas, Chemicals and Waste, Mercury, Artisanal and Scale Gold Mining, Best Available Technology / Best Environmental Practices, Waste Management, Hazardous Waste Management, Sound Management of chemicals and waste, Land Degradation, Sustainable Land Management, Community-Based Natural Resource Management, Influencing models, Strengthen institutional capacity and decision-making, Deploy innovative financial instruments, Demonstrate innovative approach, Convene multi-stakeholder alliances, Transform policy and regulatory environments, Stakeholders, Local Communities, Type of Engagement, Consultation, Information Dissemination, Partnership, Participation, Private Sector, SMEs, Large corporations, Capital providers, Financial intermediaries and market facilitators, Individuals/Entrepreneurs, Beneficiaries, Civil Society, Academia, Non-Governmental Organization, Community Based Organization, Trade Unions and Workers Unions, Communications, Behavior change, Awareness Raising, Education, Public Campaigns, Gender Equality, Gender Mainstreaming, Sex-disaggregated indicators, Gender-sensitive indicators, Women groups, Gender results areas, Capacity Development, Participation and leadership, Access to benefits and services, Knowledge Generation and Exchange, Access and control over natural resources, Capacity, Knowledge and Research, Knowledge Exchange, Innovation, Learning, Knowledge Generation, Indicators to measure change, Adaptive management, Theory of change |                             |               |
| Type of Trust Fund:                | GET  | Project Duration (Months):  | 60            |
| GEF Project Grant: (a)             | 5,000,000.00   | GEF Project Non-Grant: (b)  | 0.00          |
| Agency Fee(s) Grant: (c)           | 475,000.00   | Agency Fee(s) Non-Grant (d) | 0.00          |
| Total GEF Financing: (a+b+c+d)     | 5,475,000.00   | Total Co-financing:         | 10,000,000.00 |
| PPG Amount: (e)                    | 150,000.00   | PPG Agency Fee(s): (f)      | 14,250.00     |
| PPG total amount: (e+f)            | 164,250.00   |                             |               |
| Total GEF Resources: (a+b+c+d+e+f) | 5,639,250.00   |                             |               |
| Project Tags:                      | CBIT: No NGI: No SGP: No Innovation: No  |                             |               |

## Project Summary

**Provide a brief summary description of the project, including: (i) what is the problem and issues to be addressed? (ii) what are the project objectives, and if the project is intended to be transformative, how will this be achieved? (iii), how will this be achieved (approach to deliver on objectives), and (iv) what are the GEBs and/or adaptation benefits, and other key expected results. The purpose of the summary is to provide a short, coherent summary for readers. The explanation and justification of the project should be in section B “project description”.(max. 250 words, approximately 1/2 page)**

Mercury is a naturally occurring element released primarily through human activity and is recognized as one of the most toxic substances in the world for the human population. Based on its physical properties, mercury can transform into its most toxic form, methylmercury, with the assistance of microorganisms found in water or soil and can then bioaccumulate and travel long distances. With respect to human health, the exposure to high volumes of methylmercury causes severe damage to the nervous system, with an augmented impact on pregnant women and new-borns.

Despite previous efforts by the Zimbabwe government and international institutions, the use of mercury remains high and common among ASGM miners all over the country. This situation causes negative consequences towards the environment and the health of ASGM communities nearby.

The objective of this project is to reduce the negative environmental and health effects caused by the intensive use of mercury by the Artisanal and Small-Scale Gold Mining (ASGM) sector in Zimbabwe. To achieve this, the project aims to apply a holistic approach in which the project’s intervention will focus on four key elements to enable a sustainable behavioural change in the sector.

These elements are: 1) promotion of formalization efforts in the ASGM sector; 2) reduction of barriers to access of finance and markets for ASGM miners; 3) uptake of mercury-free gold processing technologies and techniques; and 4) management of knowledge and communication created by the project to ensure upscaling at the national and international level.

The GEBs expected will be the abatement of 4.85 Tons of mercury at the end of the project’s implementation phase<sup>[1]</sup>, the better management of landscapes and 6,000 people (5,280 men and 720 women) as direct beneficiaries.

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<sup>[1]</sup> The planetGOLD programme agrees to add a multiplication factor of 3 to the targeted emissions due to local replication and improved national frameworks, in line with the GEF GEBs approach. This multiplicative effect is mean to be developed during the 10 years after the implementation phase of the project. In the case of Zimbabwe the multiplication factor will add 14.55 Tons of mercury reduction, with a total abatement of 19.4 Tons of mercury.

## Indicative Project Overview

### Project Objective

The objective of this project is to reduce the negative environmental and health effects caused by the intensive use of mercury by the Artisanal and Small-Scale Gold Mining (ASGM) sector in Zimbabwe. To achieve this, the project aims to apply a holistic approach focusing on formalisation, access to finance and markets, mercury free technologies and knowledge management to enable a sustainable behavioural change in the sector.

| Project Components                                | Component Type       | Project Outcomes  | Project Outputs   | Trust Fund | GEF Project Financing(\$) | Co-financing(\$) |
|---|----------------------|---|---|------------|---------------------------|------------------|
| Component 1: Formalization of the ASGM sector     | Technical Assistance | Outcome 1: ASGM miners improve their gold production practices through formalization.   | <p>Output 1.1: In-depth legal, social, technical, financial and environmental assessments of ASGM areas are completed in the targeted ASGM areas and made available to policymakers.</p> <p>Output 1.2: A capacity building programme is designed and delivered to improve formalization in the sector.</p> | GET        | 1,200,000.00              | 2,000,000.00     |
| Component 2: Improvement of the access to finance | Technical Assistance | Outcome 2: Targeted ASGM organizations have access to finance to foster the legally compliant mercury-free gold supply chain in Zimbabwe. | <p>Output 2.1: Support to ASGM entities to improve their 'credit profile' for accessing finance.</p> <p>Output 2.2.: Support to ASGM entities to engage with international gold supply market actors.</p>   | GET        | 1,300,000.00              | 2,000,000.00     |



|  |                         |  |  |     |                     |                      |
|--|-------------------------|--|--|-----|---------------------|----------------------|
| Component 3:<br>Uptake of<br>mercury-free<br>gold processing<br>technologies<br>and techniques | Technical<br>Assistance | Outcome 3: Mercury-free<br>processing methods are<br>widely used by the ASGM<br>miners in<br>Zimbabwe.   | Output 3.1: ASGM miners are<br>sesitized on the health and<br>environmental risks of mercury<br>usage.<br><br>Output 3.2: ASGM miners are<br>confident in the use of mercury-<br>free technologies.  | GET | 1,330,000.00        | 2,000,000.00         |
| Component 4:<br>Knowledge<br>management<br>and<br>Communication<br>s                           | Technical<br>Assistance | Outcome 4: The ASGM<br>sector in Zimbabwe<br>reduces its negative<br>impacts through the<br>strengthening of<br>communications and<br>knowledge<br>management. | Outcome 4.1: Knowledge and<br>information produced through<br>the project leads to better<br>management of the ASGM<br>sector in Zimbabwe.<br><br>Outcome 4.2: Knowledge<br>products and tools developed<br>through the project are<br>available globally through the<br>planetGOLD programme. | GET | 852,000.00          | 2,000,000.00         |
| <b>Monitoring and Evaluation (M&amp;E)</b>   |                         |  |  |     |                     |                      |
| M&E  | Technical<br>Assistance | The project achieves<br>results on time through<br>effective monitoring and<br>evaluation  | The project is monitored and<br>evaluated  | GET | 80,500.00           | 1,000,000.00         |
| <b>Sub Total (\$)</b>  |                         |  |  |     | <b>4,762,500.00</b> | <b>9,000,000.00</b>  |
| <b>Project Management Cost (PMC)</b>   |                         |  |  |     |                     |                      |
|  |                         |  |  | GET | 237,500.00          | 1,000,000.00         |
| <b>Sub Total(\$)</b>   |                         |  |  |     | <b>237,500.00</b>   | <b>1,000,000.00</b>  |
| <b>Total Project Cost(\$)</b>  |                         |  |  |     | <b>5,000,000.00</b> | <b>10,000,000.00</b> |

Please provide justification

## PROJECT OUTLINE

### A. PROJECT RATIONALE

**Briefly describe the current situation: the global environmental problems and/or climate vulnerabilities that the project will address, the key elements of the system, and underlying drivers of environmental change in the project context, such as population growth, economic development, climate change, sociocultural and political factors, including conflicts, or technological changes. Describe the objective of the project, and the justification for it. (Approximately 3-5 pages) see guidance here**

#### The global environmental problem of mercury usage

The negative health and environmental impacts of mercury usage across the world have garnered the attention of and mobilized action amongst a variety of actors and stakeholders, including governments, international bodies, the private sector, civil society, and affected communities.

With the artisanal and small-scale gold mining (ASGM) sector serving as the largest contributor of global anthropogenic mercury emissions<sup>[1]</sup>, emphasis has been placed on identifying scalable and sustainable solutions to reducing and eventually eliminating the use of mercury in the production of artisanal gold. These efforts are complicated by the complex environments in which artisanal mining often takes place and the characteristics of the sector, which is often understood as poverty-driven and operating largely in an informal and unregulated manner.

The Global Environmental Facility's (GEF) planetGOLD programme, which aims to make artisanal and small-scale gold mining safer, cleaner, and more profitable, is a key initiative in driving large-scale, systemic change across the ASGM sector globally<sup>[2]</sup>. The programme recognizes that tackling the elimination of mercury in ASGM supply chains requires a holistic approach that addresses the root causes of mercury usage and the barriers that often impede miners from transitioning to mercury-free technologies.

This includes a focus on several key areas: access to financing and responsible gold markets, support for formalization, awareness raising on the harmful effects of mercury towards human health and the environment, increasing access to mercury-free technology and strengthening local capacity for sustainability of solutions.

This effort comes as follow up to previous GEF efforts on ASGM mercury reduction such as the Global Mercury Project, the ongoing planetGOLD programme (GEF GOLD) and several bilateral initiatives. At the global scale, the Programme supports countries' commitments under the Minamata Convention on Mercury entered into force in August 2017.

Elemental mercury has traditionally been used in certain products such as thermometers or dental amalgams, as well as in different processes, such as gold mining, and it is released into the air when burned.

Mercury is known to affect the brain, kidney, lungs, nervous, digestive, and immune systems, skin, and the eyes. As such, the toxic metal is one of the chemicals of major public health concern for the World Health Organization (WHO).<sup>[3]</sup>

While in certain forms and smaller quantities, mercury exposure and consumption are less likely to be harmful to humans and the environment, anthropogenic exposure to mercury via respiration of mercury vapor, skin contact with liquid mercury or consumption of contaminated water or food sources, especially when these are in high frequency and long-term, can cause severe and irreparable harm. Mercury that is released into the atmosphere can eventually make its way into water sources, and subsequently the aquatic food chain as it is transformed into methylmercury. This toxic form of mercury biomagnifies as it passes from one trophic level of the food chain to another.

In recent time, concerns over the toxicity and harmful effects of mercury on human health and the environment have led to the phasing out of mercury usage in several products, though the extent of this phase out differs across industries and countries. Global efforts to phase out the use of mercury have been primarily executed through the Minamata Convention on Mercury.

Of most relevance to global mercury emissions however is the use of mercury in extraction of gold from ore, notably in the ASGM sector. In this regard, mercury is mixed with gold-bearing ore to form a gold-mercury amalgam, and subsequently burned off to leave out gold sponge. Through this process, mercury is released into the air and can find its way into both humans and the local environment, notably water sources and soil.

During mining and processing activities in the ASGM sector, mercury losses to the environment occur during amalgamation and amalgam burning. Due to primarily unsafe practices in the sector, mercury is released directly into the environment, contaminating air, lands, and soils. The uncontrolled loss of mercury, especially released from whole ore amalgamation, can travel long distances around the globe, contributing to mercury pollution and contaminating the world's ecosystems.

The process of artisanal mining, and in particular gold, also leads to wider degradation of the environment that are not directly linked to mercury usage. Clearing large areas of forest and vegetation to mine the ore can leave surrounding communities lacking arable land for farming and clean water. However, studies have shown that deforestation also increases mercury mobilization in ASGM areas, increasing levels of both naturally occurring and anthropogenic toxins.

#### **A global approach to the reality of the ASGM sector**

ASGM is a global reality practised in more than 80 countries, located particularly in South American, African, and Asian countries, where it plays a crucial economic role.

It is estimated that between 10 to 15 million miners, including 4 to 5 million women and children, are directly engaged in ASGM activities; and a further 100 million people are dependent on this sector for their livelihoods<sup>[4]</sup>. The number of people employed in the sector is difficult to determine due to its informal nature, the lack of official statistics, the number of seasonal and occasional workers, and definition issues.

At the same time, many factors shaping the ASGM sector are strongly linked to local and national contexts. Social and economic factors, environmental, geological parameters, health, and technical aspects, differ from country to country and at a national level from place to place.

Nonetheless, ASGM is characterized by the use of adapted mining tools and equipment and limited use of mechanization (allowing for mobility), the employment of rudimentary mining techniques requiring moderate financial resources but a heavy physical investment, often being an informal economic activity outside the national legal and regulatory framework.

Equally, ASGM is a labour-intensive work, where miners usually experience limited access to formal agreements on land and legal markets. Moreover, ASGM is a primal source of employment and income for poor and rural people, with a widely recognized potential for poverty reduction and rural development.

When not formalized and without any apparent organization, ASGM can be perceived as a negative economic activity by the public because of its generally insufficient consideration for environmental issues and its highly negative impact in the form of social disruption and conflicts, child labour, and unmitigated occupational health and safety risks for miners. With all those negative connotations is often included the unsafe use of mercury and its hazardous releases to nature.

Mines belonging to the ASGM category produce annually about 20% of the global gold production through supply chains that are mostly informal (80%). In the case of Zimbabwe, the total gold production from was 29.6 tonnes in 2021, valued at USD1.7 billion and of which 62% of this production came from the ASGM sector, according to official statistics.

In addition, it is important to stress that the use of mercury is widespread in the ASGM sector. Even if miners are aware of the health risks related to the use of mercury for gold ore amalgamation, they mostly continue to use it for a variety of reasons that are critical to understand.

Among the available technique to the miners, the use of mercury to separate gold from the ore is easier and cheaper than most other techniques, which often require a financial investment in equipment and technical training, at best. Moreover, mercury is also easy to find in the mining areas, very often provided by the buyers and middleman actors of the supply chain.

### **Root causes and main barriers**

There are many intertwined health, environmental, legal, and socio-economic challenges related to high mercury usage and emissions in the ASGM sector both in Zimbabwe and at the global level. The main barriers to the adoption of mercury-free practices include:

#### **Poverty**

ASGM is seen as a primary source of income for many miners and their families, with some miners depending on the sector to address food insecurity. Most alternative traditional sources of income such as agriculture or farming are low paid, unstable, and highly impacted by climate changes effects.

Despite its physical requirements, ASGM is perceived as a highly potential generator of revenues. Poverty-driven ASGM represents a crucial obstacle to reducing mercury use especially as barriers to entry in the sector are low, while barriers to access mercury-free technologies can be high.

#### **Informality and Lack of Effective Legislative and Regulatory Framework**

The perpetual informality of the ASGM sector is one of the main root causes of its dependence on mercury in extracting gold from the ore. While Zimbabwe recognizes artisanal operations since 2014, ASGM activities remain predominantly informal, meaning that the operators do not have the requisite licenses and permits.

The drivers of informality are primarily rooted in the lack of an effective governance framework for the ASGM sector that serves to both regulate and incentivize miners to formalize. This includes the presence of fiscal-administrative obstacles, such as high costs for licenses, long wait periods, burdensome processes, and distance between government services and ASGM sites, all of which can encourage informal activity.

Beyond an effective regulatory and legislative framework for formalizing the ASGM sector, a lack of resources has hindered the ability of government ministries and departments to reinforce regulations, laws, and policies or to provide effective support services to the ASGM sector so that it is able to move towards formalization and improve their practices (including mercury reduction). Globally, a lack of decentralization and coordination has also played a role in minimizing the effectiveness of existing formalization efforts.

#### Poor Knowledge of Environmental and Health-related Best Practices for ASGM

Miners often have limited knowledge and understanding of the potentially negative health and environmental impacts that are associated with mercury usage. Additionally, those who may understand these negative impacts often have limited awareness of and access to technologies that reduce or eliminate the use of mercury, or that can at least improve environmental and worker safety risks when it is used. While education is an important component in addressing this barrier, it is also important to consider this in the broader context of those working in the ASGM sector or governing it.

A lack of effective local solutions and capacities to organize and collectively address these problems, especially via scalable knowledge sharing and communication efforts, can often weaken the impact of efforts to educate and improve understanding. The mercury-free methods used are labour intensive, discouraging wider adoption by miners. A lack of active engagement by academic institutions and equipment manufacturers in developing locally grown solutions on mercury-free gold processing keeps knowledge and capacity generally low.

#### Limited Access to Finance

The financing of the ASGM sector comes with high risks. Concerns over risks such as money laundering, child labour, mercury usage and corruption provide the threat of reputational damage for lenders.<sup>[5]</sup> Investors are often discouraged by the fact that ASGM is largely financed through informal channels, as well as the unpredictability of the sector regarding prospective production, the migratory nature of the sector, and the lack of collateral on behalf of most of those working in the sector.

The majority of ASGM activities in Zimbabwe, do not benefit from the presence of formal lending systems, instead relying on informal lending provided by family, friends, gold traders or informal savings groups.<sup>[6]</sup>

When lenders are willing to engage in the ASGM sector, they often demand high interest rates or strict repayment schedules to balance the risk of their investment. This means loans are often very inaccessible for many small-scale businesses. Further, even when banking institutions or credit initiatives are willing to lend to ASGM actors, many are unable to access these options as they are unbanked altogether.

As a result, there is no incentive for miners to adopt responsible mining practices, such as mercury-free technology, as their primary sources of financing and gold sales are not providing the demand for mercury-free gold. Furthermore, it reduces their ability to invest in mercury-free technology or practices, as this cost directly impacts their margins and is not shared amongst supply chain actors further downstream.

#### Exposure to illicit mercury and gold trade

From a global perspective, the trade of mercury is, controlled by different mechanisms restricting its exchange. Recent efforts globally have been led by those involved in the creation and implementation of the Minamata Convention. With regulatory measures increasingly banning the trade in mercury, imports to ASGM areas are often controlled by illicit networks.

The complexity of intervention in this context resides in the intertwining of illicit mercury trade with other needed goods and services for the industry. In particular, mercury trade uses the same routes than gold exports but in the opposite direction<sup>[7]</sup>.

The actors involved in the trading and export of gold produced in ASGM areas build on their network to provide mercury to the artisanal operators. Consequently, adopting a repressive-only approach to mercury trade would greatly limit the capacity of artisanal miners to sell and export their production, negatively impacting their finances and livelihoods. Targeting behavioural changes in the use of mercury at the mine site level then appears the most promising intervention.

#### Gender Inequality

The recognition of the role of women is critical to all formalization efforts in the ASGM sector in Zimbabwe.

Strong social norms, where the participation of women in the ASGM sector is negatively seen have marginalized their perceived role in the sector. As an example, women do not have equal access to and control over gold resources. However, this situation doesn't mean that women are absent from the mining process. Instead<sup>[8]</sup>, they are mostly engaged in non-digging activities such as sluicing, washing, sieving, and processing, including using mercury-gold amalgamation<sup>[9]</sup>. Consequently, women are exposed to serious health risks, as they can often be the ones to perform ore purification with mercury.

Being largely excluded from activity that includes gold discovery also means that women do not have the same opportunities as men in benefitting from sales. Discrimination is also a significant barrier at the policy level. In certain contexts, legal texts deny access to mining licenses, finance, and resourceful land.

These factors present unique economic challenges, denying women access to control over their own earnings, which forces them to perform the most toxic jobs. As there are few alternative economic opportunities for women, processing the amalgam is often an important source of livelihood.

Given the challenges and barriers that women face in the ASGM sector, and the gender roles they play that are linked to mercury usage it is important to consider the extent to which gender inequality in the sector serves as a root cause for women's exposure to mercury contamination.

#### Stakeholder Engagement

Since ASGM is a complex sector, it is important to highlight the different project stakeholders that will collaborate and at the same time, benefit from the project. Stakeholder engagement is a key step in working in the sector because it is the foundation for sustainable behaviour change towards a mercury free ASGM sector in Zimbabwe. The main project stakeholders are :

Ministry of Environment, Climate, Tourism and Hospitality Industry (MECTH): The MECTH will be the main national counterpart for this project. In particular, the project will work with the EMA (Environmental Management Agency, under MECTH) in the design and implementation of the different project activities, with a special focus on activities related to the reduction of the negative impacts that the ASGM sector currently causes to the local biodiversity and natural resources.

Ministry of Mines and Mining Development (MMMD): The project will cooperate with the MMMD in fostering the current legal framework of the ASGM sector at the national level. This close cooperation will ensure that the different methodologies applied through the formalization efforts by the project are transferred to national policy makers to guarantee the transfer of knowledge to the country.

Ministry of Health (MH): The project will work with the MH in the development of communication strategies to raise awareness of the potential dangers that mercury usage causes to the local ASGM communities. The project will share baseline estimates about mercury usage and exposure of local ASGM communities to update public health policies at the national level.

Reserve Bank of Zimbabwe (RBZ): The Reserve Bank of Zimbabwe is the central bank of the country. It is the public institution which has, among others, the custody of the national monetary reserves. The national government assigned the RBZ with the mandate of controlling the extraction and processing of gold and silver deposits in the country. Consequently, the RBZ established Fidelity Printers and Refiners as the national monopoly for gold refining in the country. The RBZ will support the country in the design of policies and the improvement of the legal framework of the ASGM sector.

Fidelity Printers and Refiners (FPR): It is the public institution in charge of consolidating and refining the production of gold in the country. The project will work closely with FPR in developing a wider network of official gold-buying centres where project beneficiaries will be able to sell their mercury-free processed gold in a traceable manner. In addition, the project will try to work with FPR in the broadening of international gold supply chain actors with access to the Zimbabwean gold market.

Zimbabwean Miners Associations: The project has identified various mining associations such as the Zimbabwean Miners Federation or the Zimbabwean Artisanal Miners Federation. These types of professional associations will play a key role in the project's execution phase as they will serve as communication channels with the different targeted project mining sites. In addition, these institutions will help the project to achieve an effective upscaling of the behavioural changes needed to transform the current Zimbabwean ASGM sector into a mercury-free extractive more sustainable industry.

Mining Industry associations: Institutions such as the national Chamber of Mines will help the project to engage with Large-Scale Gold Mining (LSGM) companies with country operations. Even though the project's scope is the ASGM sector, it is of great importance to identify potential synergies with the LSGM sector, specially through Component 1: Formalization of the ASGM sector in the country.

IMPACT: IMPACT is a Canadian-based international NGO with a long-standing experience in the development and execution of ASGM-related projects from various donors. In 2020, IMPACT executed a regional project on ASM and women inclusion<sup>[10]</sup> in Democratic Republic of Congo, Uganda and Zimbabwe. This NGO is as well engaged in the planetGOLD programme through the execution of the planetGOLD Uganda (GEF ID 10618) and Côte d'Ivoire (GED ID 10845) projects. They will act as the project's executing agency.

Local environmental NGOs: The support of local communities is compulsory to achieve the ultimate targeted goals of this project. To do so, the project and its executing agency will seek the support of local NGOs such as the Zimbabwean Environmental Law Association to carry out different sets of activities to be planned during the PPG phase.

planetGOLD global programme: The Zimbabwe project will seek the support from the global component of the planetGOLD programme (GED ID 10606) to ensure that the flow of information and common experiences from other planetGOLD country projects are sustained through the entire lifespan of the project. Reporting mechanisms on project results will be established to compile homogenous information to be synthesized, collated and disseminated at the global level.

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- [1] United Nations Environmental Programme (UNEP). 2018. Global Mercury Assessment 2018. Available from: <https://wedocs.unep.org/bitstream/handle/20.500.11822/27579/GMA2018.pdf?sequence=1&isAllowed=y> [accessed August 15, 2022].
- [2] The Global Environmental Facility (GEF). N.d. planetGold. Available from: <https://www.planetgold.org/about> [accessed August 15, 2022]
- [3] World Health Organization. 2017. Mercury and Health. Available from: <https://www.who.int/news-room/fact-sheets/detail/mercury-and-health> [accessed November 8, 2021].
- [4] Fristz, M., Mcquillen, J., Collins, N., Weldegiorgis, F., 2018. global trends in artisanal and small-scale mining (ASM): a review of key numbers and issues. IISD (IGF), Winnipeg
- [5] UN Environment Programme. *Improving Access to Formal Finance in Artisanal and Small-Scale Gold Mining*.
- [6] IMPACT. 2020. *Digging for Equality: Gender Equality and Women's Empowerment in Artisanal Mining*.
- [7] Follow the Money: Zimbabwe. A rapid assessment of gold supply chains and financial flows in the ASGM sector in Zimbabwe. 2018, UNIDO
- [8] Hilson, Gavin, Abigail Hilson, Agatha Siwale and Roy Maconachie. 2018. "Female Faces in Informal 'Spaces': Women and Artisanal and Small-scale Mining in sub-Saharan Africa." *African Journal of Management* 4, no. 3: 406-446.
- [9] UN Environment Programme. Gender Equality and Mercury.
- [10] Digging for equality: Gender Equality and Women's Empowerment in Artisanal Mining. IMPACT, 2020

## B. PROJECT DESCRIPTION

### Project Description

This section asks for a theory of change as part of a joined-up description of the project as a whole. The project description is expected to cover the key elements of good project design in an integrated way. It is also expected to meet the GEF's policy requirements on gender, stakeholders, private sector, and knowledge management and learning (see section D). This section should be a narrative that reads like a joined-up story and not independent elements that answer the



guiding questions contained in the PIF guidance document. (Approximately 3-5 pages) see guidance here

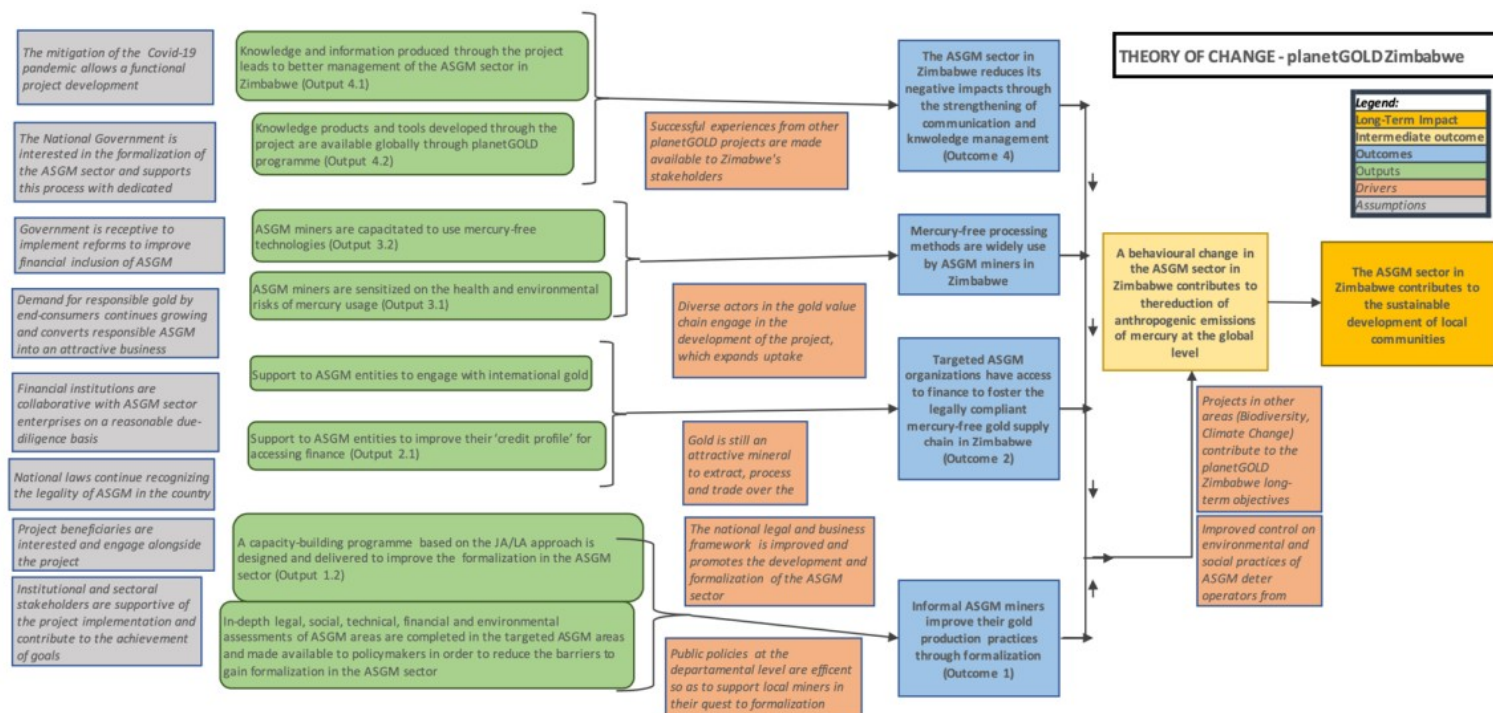


Figure 1: Theory of Change Diagram, planetGOLD Zimbabwe project

The project structure is built around 4 components that reflect the identified needs for the ASGM sector in Zimbabwe. The components are:

1. The promotion of formalization in the ASGM sector through the strengthening, awareness-raising, and support to mining organizations that will facilitate sustainable changes and enhance the organizational capacity of the targeted ASGM communities.
2. The provision of adequate financial solutions that can promote a competitive mercury-free gold market in the country, integrated in transparent and traceable international gold supply chains.
3. The introduction and adoption of efficient mercury-free gold processing technologies in the ASGM sector.
4. The fostering of dissemination and exchange of information initiatives at the national level and the international sphere in line with the planetGOLD programme outreach strategy.

The structure is reflected in the Theory of Change (ToC) figure above, where based on a few assumptions, the project aims to reach several outputs. The action of different drivers at the national and international levels will contribute toward the completion of outputs and achievement of four outcomes, one for each project component.

Ultimately, the four outcomes will ensure long-lasting changes in the ASGM sector at the national level and will help to trigger global environmental benefits through coordination and participation in the planetGOLD global programme.

One of the key features of the second phase of planetGOLD programme (Parent Programme PFD ID 10569) is the inclusion of the Jurisdictional Approach and Landscape Approach (JA/LA) to promote formalization.

The JA/LA strategy will tackle ASGM operations from different contexts. Using the JA/LA plan of action, the results of the project won't be based only on the outcomes from a few pilot sites, but rather the work with cluster areas showing common dynamics inside them, ensuring a critical mass of committed ASGM communities for success.

Since each mining area in Zimbabwe bear specific mining ores and actors, this will be considered during the execution of the project activities in each mining region. The formalization component of the project will closely follow the JA/LA steps that are as follows:

1. Landscape characterization – including stakeholder mapping, spatial and contextual assessment,
2. Definition of an action plan that considers different scenarios and leads to concrete results,
3. Research for funding and co-financing sources for the action plan,
4. Implementation of the action plan and progress monitoring,
5. Integration of lessons learned adaptation and dissemination.

Moreover, it is worth noting that the aforementioned methodology is aligned with the Mineral Responsible Supply Chains model, which mostly refers to the OECD Due Diligence approach, based on a sequence of 5 steps, namely: (1) Establishment of management systems → (2) Risks Assessment → (3) Design of risk mitigation plans → (4) Carry out audits → (5) Report and disseminate.

Therefore, the combination of the 4 project components presented above and the usage of the JA/LA approach and other related methodologies will lead to the creation of an alternative scenario that will curb the use of mercury in the ASGM sector in Zimbabwe.

#### Component 1: Formalization of the ASGM sector

Specific mining areas have not been formally selected, but the intention to perform a complementary study to collect additional data will allow selecting the communities. During this process, the miners will be informed about the project and invited to participate.

The project will seek a consultative approach with local beneficiaries and stakeholders through the organization of informational workshops in the mining areas. It is worth noting that such workshops will later serve as the foundation to establish local permanent information platforms, in line with the JA/LA approach.

The ultimate number of mining areas targeted in each mining Department (please refer to Maps section) will depend on the interested parties, the buy-in from Departmental public authorities and the opinion of other community representatives. Potential conflicts between large scale mining operations and ASGM miners, as well as with other industrial activities (farming, forestry) will be identified and addressed. The UN Free and Prior Informed Consent <sup>[1]</sup> approach will

be applied during the consultation process, promoting the involvement of mining organizations and the participation of the local communities in the multistakeholder processes.

The methodologies used for setting up the formalization support programme will produce specific improvement plans that will describe prioritized risks (namely legal, environmental, technical, financial, and social risks) and activities, capacity building programmes and training materials needed to support the formalization process.

The course of action will be discussed and approved for each selected territory. With such a process, it will be guaranteed that the activities will first fulfil the specific needs for each territory and secondly, will employ the JA/LA methodology.

The methodologies used will be mostly based on the mining organizations' empowerment and internal organizational capacity building. As such, the support will be mostly directed in the form of training sessions and day-to-day accompaniment of the organizations for the activities related to the formalization process.

Similarly, mining organizations will participate in the local and departmental multistakeholder platforms and will be invited to show their formalization progress, and to discuss encountered issues with the other project beneficiaries.

The project's intervention will rely on a "training of the trainers" approach, which will provide knowledge and capacity-building to support the upscale of the project's formalization efforts to other mining communities in the country. In addition, the project will make recommendations to the national policy makers on how to improve the legal and business framework of the ASGM sector to increase the number of formalised miners. The project activities will be based on the experience acquired by other planetGOLD countries and on international expertise, to propose a consistent strategy that improves the working environment of miners, in terms of access to legal information, introduction of alternative technologies and the provision of services such as mining, legal and financial counselling.

#### Component 2: Improvement of the access to finance

Even though the ASGM sector scarcely uses heavy machinery or equipment, ASGM operations still need essential financial services. The need for funding is especially notable in the case of the transition from mercury usage to mercury-free processing techniques, as high-performance gravimetric equipment is usually more expensive than the basic tools that are mostly combined with mercury amalgamation.

The financing of the mining operations in the country mostly come from informal lenders who also sell equipment and food supplies to the miners. The primary interest shown by these financial services providers is to have a pre-emptive access to the mineral, usually at a much lower price than the official gold-buying centres set up by the government.

A specific set of activities will be designed to promote savings mechanisms for ASGM organizations, in which women may find alternative livelihood opportunities, and where they may have important management roles.

Thanks to a better management of the internal savings, the mining organization's will improve their chances of obtaining loans from commercial banks and other national financial institutions.

Training sessions, as well as tailored learning materials will be provided. Different financial mechanisms will be examined, depending on the amount of required funds and the opportunities that can be materialized.

The provision of capacity building to the mining organizations on topics such as savings systems will provide empowerment on the financial management of the day-to-day operations. The objective is to increase the internal capacity to finance small expenses such as buying mercury free processing equipment.

Investment plans will be drafted by the mining organizations, according to the technological solutions that will be identified and tested in Component 3. If access to microfinance or banking services is deemed necessary, additional information will be collected to meet the expectations of potential investors or financial institutions.

Therefore, it is foreseen that the activities regarding the strengthening of the financial management and the creation of saving mechanisms within the ASGM organizations will greatly improve their capacity to access formal financial services.

Finally, the project will coordinate efforts with the planetGOLD programme to facilitate dialogues and business exchanges in between Zimbabwean ASGM entities and international actors of the gold supply chain such as gold refiners in order to improve their access to the exportation of their mercury-free gold production.

### Component 3: Uptake of mercury free technologies and techniques

According to the information available through the NAP (UNEP, 2019), the mercury use coming from the ASGM sector in Zimbabwe have been multiplied 4 times between 2014 and 2018, with a current average estimate of approximately 24 tons of mercury consumed annually. Consequently, mercury use in the ASGM sector in Zimbabwe is still seen as a highly attractive method of gold production by ASGM miners. Hence, demonstrating mercury-free technologies can achieve equivalent or better yields than the commonly used “mercury approach” to miners is key to revert the expansion of mercury use in the country.

It is also a key incentive for formalization, as the promise of better incomes comes with improved efficiency in the ore process, and the inclusion in formal markets through the application of the planetGOLD criteria will lead to further positive externalities.

The planetGOLD programme sets out specific criteria to govern the operations of ASGM entities engaged with the programme. Conformance with the criteria will ensure that artisanal miners participating in the planetGOLD programme undertake sufficient efforts to avoid, minimize, mitigate, and where appropriate, offset adverse impacts to people and the environment. By adhering to these criteria, mining entities will be able to meet the environmental and social safeguards required of GEF-funded projects and will enhance their ability to attract financing and sell their gold products to formal markets.

However, this technical component, although critical, won't be implemented without the support to strengthen the formalization and organizational skills of the project beneficiaries (Component 1), and from an improved business environment supported by financial resources (Component 2). These prerequisites will create an enabling environment for a perennial transition to better techniques.

The first step will consist in the evaluation of the current situation of the selected mining communities. Thereafter, adapted equipment that addresses the technical challenges faced by the miners will be purchased.

Considering the interest of the miners to improve the recovery of gold as a direct economic incentive, the crushing and milling, concentration, separation and smelting operations will be tackled. Once the technical challenges and the potential room for improvement are well defined, the project will look at the management of artisanal and rudimentary mining tools.

During the needs assessment, the needs of women that practice ASGM activities will be specifically looked at, and solutions that foster their role, or increase their mining production will be searched for. The technical support shall serve as a trigger to promote a better role of women in the mining activity.

Occupational health and safety training sessions will be included, as well as training sessions on the cost management for maintenance and repair. In this regard, environmental issues will be part of the focus. Wastewater management, tailings management and landscape reclamation will be integrated into the technical assistance and the training sessions, taking stock from the most updated information and practices published by the planetGOLD programme, the Minamata Convention on Mercury, and the Global Mercury Partnership.

#### Component 4: Knowledge management and Communications

The main objective of the communication strategy will be to raise awareness about the risks of mercury usage in the ASGM activities. Specific campaigns will be dedicated to local ASGM communities and to the risks that these communities may be exposed to due to mercury pollution.

Besides, the campaigns will try to disseminate the lessons learned and the best practices achieved from successful experiences in the pilot mining sites. The national written, radio and internet media will be regularly mobilized to report on the results of the project. It should be noted that writing articles in local languages may be encouraged to achieve a greater impact among ASGM communities local and regional levels.

Various audiences are considered for a successful communication campaign: the public in urban areas, the mining communities exposed to mercury and the other professional users of gold such as traders and jewellers, who are also exposed to the risks of mercury.

The knowledge acquisition will be improved by real experience sharing, either on the field, between miners and other actors involved in the activity or by networking with other actors between the different target mining areas. During the project, gatherings will be organized between miners of the different regions of the country to promote exchanges about their progress on the adoption of mercury-free techniques and any related issues they may face.

The main objective will be to enhance the capacity and create opportunities to collaborate between actors of the different mining regions in the country on the formalization and promotion of good mining practices and to foster the official representation of the miners at the national and regional levels.

Moreover, Component 4 will develop the tools for knowledge sharing with the other projects of the global planetGOLD programme by sharing the project's communication and education materials (videos, courses, publications, and technical designs) through the planetGOLD knowledge sharing platform, and through the publication of different pieces of information on the planetGOLD website.

The project team members will also participate in the Annual Programme Meeting (APM) and the Global Forum (GF). In addition, the project will participate in the regularly scheduled knowledge-sharing meetings to foster exchanges between the different planetGOLD country projects. All of which are to be organized by the planetGOLD global project.

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[1] Pillay, N., 2013. Free, Prior and Informed Consent of Indigenous Peoples. Office of the High Commissioner for Human Rights, Geneva.

#### **Coordination and Cooperation with Ongoing Initiatives and Project.**

**Does the GEF Agency expect to play an execution role on this project?**

**If so, please describe that role here. Also, please add a short explanation to describe cooperation with ongoing initiatives and projects, including potential for co-location and/or sharing of expertise/staffing**

After consultations with the relevant national authorities, the project learnt that there are no other projects dealing with the ASGM sector in particular, hence justification for the project's intervention. However, there are other development projects partially related to the ASGM sector such as IMPACT's project "Digging for Equality", a regional project (DRC, Uganda and Zimbabwe) with a focus on women empowerment in the artisanal mining sector in general. Communication channels with the project's staff have been established in order to ensure support and coordination of activities in between the initiatives.

Core Indicators

Indicator 4 Area of landscapes under improved practices (hectares; excluding protected areas)

| Ha (Expected at PIF) | Ha (Expected at CEO Endorsement) | Ha (Achieved at MTR) | Ha (Achieved at TE) |
|----------------------|----------------------------------|----------------------|---------------------|
| 0.00                 | 0.00                             | 0.00                 | 0.00                |

Indicator 4.1 Area of landscapes under improved management to benefit biodiversity (hectares, qualitative assessment, non-certified)

| Ha (Expected at PIF) | Ha (Expected at CEO Endorsement) | Ha (Achieved at MTR) | Ha (Achieved at TE) |
|----------------------|----------------------------------|----------------------|---------------------|
|                      |                                  |                      |                     |

Indicator 4.2 Area of landscapes under third-party certification incorporating biodiversity considerations

| Ha (Expected at PIF) | Ha (Expected at CEO Endorsement) | Ha (Achieved at MTR) | Ha (Achieved at TE) |
|----------------------|----------------------------------|----------------------|---------------------|
|                      |                                  |                      |                     |

Type/Name of Third Party Certification

This indicator is relevant for the project and will be refined during the PPG phase.

Indicator 4.3 Area of landscapes under sustainable land management in production systems

| Ha (Expected at PIF) | Ha (Expected at CEO Endorsement) | Ha (Achieved at MTR) | Ha (Achieved at TE) |
|----------------------|----------------------------------|----------------------|---------------------|
|                      |                                  |                      |                     |

Indicator 4.4 Area of High Conservation Value or other forest loss avoided

| Disaggregation Type | Ha (Expected at PIF) | Ha (Expected at CEO Endorsement) | Ha (Achieved at MTR) | Ha (Achieved at TE) |
|---------------------|----------------------|----------------------------------|----------------------|---------------------|
|---------------------|----------------------|----------------------------------|----------------------|---------------------|

Indicator 4.5 Terrestrial OECMs supported

| Name of the OECMs | WDPA-ID | Total Ha (Expected at PIF) | Total Ha (Expected at CEO Endorsement) | Total Ha (Achieved at MTR) | Total Ha (Achieved at TE) |
|-------------------|---------|----------------------------|--|----------------------------|---------------------------|
|-------------------|---------|----------------------------|--|----------------------------|---------------------------|

Documents (Please upload document(s) that justifies the HCVF)

| Title | Submitted |
|-------|-----------|
|       |           |

Indicator 9 Chemicals of global concern and their waste reduced



| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
| 4.85                          | 0.00                                      | 0.00                          | 0.00                         |

Indicator 9.1 Solid and liquid Persistent Organic Pollutants (POPs) removed or disposed (POPs type)

| POPs type | Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-----------|-------------------------------|---|-------------------------------|------------------------------|
|-----------|-------------------------------|---|-------------------------------|------------------------------|

Indicator 9.2 Quantity of mercury reduced (metric tons)

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
| 4.85                          |   |                               |                              |

Indicator 9.3 Hydrochlorofluorocarbons (HCFC) Reduced/Phased out (metric tons)

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

Indicator 9.4 Number of countries with legislation and policy implemented to control chemicals and waste (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)

| Number (Expected at PIF) | Number (Expected at CEO Endorsement) | Number (Achieved at MTR) | Number (Achieved at TE) |
|--------------------------|--------------------------------------|--------------------------|-------------------------|
| 1                        |                                      |                          |                         |

Indicator 9.5 Number of low-chemical/non-chemical systems implemented, particularly in food production, manufacturing and cities (Use this sub-indicator in addition to one of the sub-indicators 9.1, 9.2 and 9.3 if applicable)

| Number (Expected at PIF) | Number (Expected at CEO Endorsement) | Number (Achieved at MTR) | Number (Achieved at TE) |
|--------------------------|--------------------------------------|--------------------------|-------------------------|
|                          |                                      |                          |                         |

Indicator 9.6 POPs/Mercury containing materials and products directly avoided

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

Indicator 9.7 Highly Hazardous Pesticides eliminated

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

Indicator 9.8 Avoided residual plastic waste

| Metric Tons (Expected at PIF) | Metric Tons (Expected at CEO Endorsement) | Metric Tons (Achieved at MTR) | Metric Tons (Achieved at TE) |
|-------------------------------|---|-------------------------------|------------------------------|
|                               |   |                               |                              |

Indicator 11 People benefiting from GEF-financed investments

|        | Number (Expected at PIF) | Number (Expected at CEO Endorsement) | Number (Achieved at MTR) | Number (Achieved at TE) |
|--------|--------------------------|--------------------------------------|--------------------------|-------------------------|
| Female | 720                      |                                      |                          |                         |
| Male   | 5,280                    |                                      |                          |                         |
| Total  | 6000                     | 0                                    | 0                        | 0                       |

Explain the methodological approach and underlying logic to justify target levels for Core and Sub-Indicators (max. 250 words, approximately 1/2 page)



## Risks to Project Preparation and Implementation

Summarize risks that might affect the project preparation and implementation phases and what are the mitigation strategies the project preparation process will undertake to address these (e.g. what alternatives may be considered during project preparation-such as in terms of consultations, role and choice of counterparts, delivery mechanisms, locations in country, flexible design elements, etc.). Identify any of the risks listed below that would call in question the viability of the project during its implementation. Please describe any possible mitigation measures needed. (The risks associated with project design and Theory of Change should be described in the "Project description" section above). The risk rating should reflect the overall risk to project outcomes considering the country setting and ambition of the project. The rating scale is: High, Substantial, Moderate, Low.

| Risk Categories          | Rating   | Comments   |
|--------------------------|----------|--|
| Climate                  | Moderate | Climate Change related project risk are twofold and consist of: First, potential floodings to selected projects sites. Secondly, increases in temperature high enough to undermine public health. To mitigate these potential threats, during the PPG phase the project will add climate related information to the project sites selection process. In addition, during the Implementation phase, the project will introduce capacity training on climate-related risks in Component 1 Formalization  |
| Environment and Social   | Moderate | Environmental risks consist of the potential spill overs of mercury in ASGM sites. In addition, poor management of ASGM landscapes can be considered as environmental risks. However, the project aims to improve the environmental management of ASGM sites at the national level, improving practices to reduce potential spill overs and improving the management of landscapes. Social risks are identified as any labour related abuse, in the form of child labour or labour enforcement. Other social risks are the potential displacement of communities or the erosion of social heritage. In this respect, the project will seek to improve labour conditions in the ASGM sector through component 1. A detailed analysis and consultation process with relevant project stakeholders during the PPG phase will ensure these risks remain low. A project's grievance mechanism has been established at the level of the global planetGOLD programme, in line with UNEP's and GEF's policies. |
| Political and Governance | Low      | Political and Governance risk are related to the appearance of political conflicts and violence at the national or regional level. In this respect, Zimbabwe and the neighbouring region is stable from a political perspective. However, the project's team will closely monitor the political situation at the country level for an early identification of potential sources of conflict that may affect the project's implementation phase.  |
| Macro-economic           | Low      | Macro-economic risks are related to a dramatic change in the economic situation of Zimbabwe, something that has happened historically (i.e., Hyperinflation crisis in the 2000's) and that could negatively affect to the ability to export gold of the ASGM targeted communities. In this sense, the project will closely cooperate with the Federal Reserve of Zimbabwe to monitor risk and will aim to establish long-term cooperation with international gold market agents.   |

|   |          |  |
|---|----------|--|
| <b>Strategies and Policies</b>                                      | Low      | Strategies and policies risks are related to the possibilities of diversion from national strategies and priorities. In this respect, the project has already established strong cooperation with the different relevant ministries to ensure the project's goals and approaches are aligned to the national goals.                            |
| <b>Technical design of project or program</b>                       | Low      | Technical design risks are identified as poor-quality design. This project is linked to the planetGOLD programme, a GEF-funded internationally validated programme with 23 on-going country projects, as it is the case of Zimbabwe.   |
| <b>Institutional capacity for implementation and sustainability</b> | Low      | Institutional capacity risks are correlated to the lack of potential project support from the national counterparts for the implementation of the project. However, national counterparts have an extensive experience dealing with GEF funded project and have already worked with UNEP in the field of chemicals and waste.                  |
| <b>Fiduciary: Financial Management and Procurement</b>              | Low      | Financial Management and Procurement risks correspond to any potential mismanagement of funds. The project will ensure that UNEP and GEF financial rules are followed during the entire lifespan of the project. In addition, financial audits will be carried out on a regular basis to avoid any potential change of use of project funding. |
| <b>Stakeholder Engagement</b>                                       | Low      | The project will reduce the potential risk of stakeholder detachment by contacting with all relevant stakeholders identified in the PIF document and developing in cooperation with them a stakeholder's engagement plan, in line with UNEP's and GEF's guidance.  |
| <b>Other</b>  |          | Not applicable   |
| <b>Financial Risks for NGI projects</b>                             |          | Not applicable   |
| <b>Overall Risk Rating</b>  | Moderate | Through the combination of all identified risk, this assessment concludes that this project risk rating is moderate. However, close monitoring of risks (identified or upcoming) will guarantee adequate risk identification, management, and adaptation   |

## C. ALIGNMENT WITH GEF-8 PROGRAMMING STRATEGIES AND COUNTRY/REGIONAL PRIORITIES

Describe how the proposed interventions are aligned with GEF- 8 programming strategies and country and regional priorities, including how these country strategies and plans relate to the multilateral environmental agreements.

Confirm if any country policies that might contradict with intended outcomes of the project have been identified, and how the project will address this.(max. 500 words, approximately 1 page)

The planetGOLD Zimbabwe project is directly aligned with the GEF-8 programming strategies. It contributes to the Chemicals and Waste focal area, Objective 1: Creation, strengthening and supporting the enabling environment and policy coherence to transform the manufacture, use and sound management of chemicals and to eliminate waste and chemical pollution.; and Objective 2: Prevention of future build-up of hazardous chemicals and waste in the environment

The project does follow the shift from a chemical by chemical-based approach to a sector-based approach as it tackles the ASGM sector as a whole, including significant involvement of the private sector in supporting implementation of Minamata Convention.

In addition, the project fulfils many principles in addressing chemicals and waste priorities under the GEF8 programming strategy:

- Potential to generate multiple global environmental benefits and socio-economic benefits including facilitating equal access of women and men to financial services and productive assets to boost their livelihoods.
- Facilitate women participation and decision-making opportunities
- Facilitate gender sensitive awareness raising and communication
- Innovation – develop and scale locally developed technologies and practices to include design of financial mechanisms at the national level
- Support policy coherence across national institutions to manage hazardous chemicals and waste

The project will seek to substantively reduce the amount of mercury use in the ASGM sector in Zimbabwe, contributing not only to the GEF's strategic goals, but also to support national priorities and fulfill country obligations under the Minamata Convention.

At the country level, the project is fully aligned with the main goals suggested by the NAP document submitted to the Minamata Convention in November 2019. These recommendations have been applied as the foundation of the project's logical intervention in combination with the planetGOLD global programmatic approach. During the drafting process of this document, the Zimbabwean authorities in the Ministries of Environment, Climate, Tourism and Hospitality Industry, through the Environmental Management Agency (EMA), the Ministry of Mining and Mining Development, through the Artisanal Mining Directorate and the Ministry of Health were consulted to ensure that the project's approach was in line with each ministry's strategies and goals.

Notably, the planetGOLD Zimbabwe project will ultimately contribute to the following national priorities:

1. Effectively reduce mercury use in the ASGM sector.
2. Develop and implement coherent national policies and regulations that promote the sustainability of ASGM and its allied sectors, as well as environmental and safety measures to protect miners and communities.
3. Establish legal and organized groups of ASGM miners with a national constituency and representing the needs of the ASGM sector.
4. Build and strengthen capacity of ASGM support institutions and regulatory authorities.
5. Enhance cooperation and partnership at all levels among miners, public authorities, industry, civic society, religious groups, academic institutions, local leadership, and other stakeholders.

Moreover, after consultation with national counterparts, the expected outcomes of the project do not conflict with any current country policies in Zimbabwe.

In addition, this project will contribute to the following UNEP's Programme of Work direct Outcomes:

- 3.1 Regional and national integrated policy has shifted towards the sound management of chemicals and waste
- 3.2 Land-based sources of pollution in fresh water and oceans, including marine litter and nutrients, are reduced.
- 3.5 Institutional capacity to adopt and act on national and international commitments is enhanced
- 3.9 Use of harmful chemicals in products and processes is reduced in key sectors.
- 3.12 Markets, supply chains, trade and consumer behaviours have shifted towards reduced pollution, influenced by transparency enabled by digital technologies.
- 3.13 Sound science, data and statistics, analysis, information and knowledge are generated and shared.

Finally, the project will seek strong cooperation and coordination of efforts with the UN National Country Team and the UN Resident Coordinator in Zimbabwe, to ensure adequate implementation in line with the UN national strategy.



#### **D. POLICY REQUIREMENTS**

**Gender Equality and Women's Empowerment:**

**We confirm that gender dimensions relevant to the project have been addressed as per GEF Policy and are clearly articulated in the Project Description (Section B).**

Yes

## Stakeholder Engagement

We confirm that key stakeholders were consulted during PIF development as required per GEF policy, their relevant roles to project outcomes and plan to develop a Stakeholder Engagement Plan before CEO endorsement has been clearly articulated in the Project Description (Section B).

Yes

**Were the following stakeholders consulted during project identification phase:**

Indigenous Peoples and Local Communities:

Civil Society Organizations: Yes

Private Sector: Yes

**Provide a brief summary and list of names and dates of consultations**

Consultations were held with the following institutions:

§ Ministry of Environment, Climate, Tourism and Hospitality Industry (EMA: Environmental Management Agency) (Recipient Country Government): Regular calls, online meetings, information exchanges monthly from May 2022 until August 2022.

§ Ministry of Mines and Mining Development (Artisanal Mining Directorate) (Recipient Country Government): Regular calls, online meetings, information exchanges monthly from May 2022 until August 2022.

§ Rand Refiners (Private Sector): Meetings and information exchanges July 2022.

§ IMPACT (Executing Agency): Regular calls, online meetings, information exchanges monthly from May 2022 until August 2022.

§ Zimbabwe Environmental Law Association (National CSO): Information exchanges in August 2022.

§ World Gold Council (Private Sector): Information exchanges in July 2022.

**(Please upload to the portal documents tab any stakeholder engagement plan or assessments that have been done during the PIF development phase.)**

## Private Sector

Will there be private sector engagement in the project?

Yes

And if so, has its role been described and justified in the section B project description?

Yes

## Environmental and Social Safeguard (ESS) Risks

We confirm that we have provided indicative information regarding Environmental and Social risks associated with the proposed project or program and any measures to address such risks and impacts (this information should be presented in Annex D).

Yes

## Overall Project/Program Risk Classification

|     |                          |     |    |
|-----|--------------------------|-----|----|
| PIF | CEO Endorsement/Approval | MTR | TE |
|-----|--------------------------|-----|----|

---

Medium/Moderate

## E. OTHER REQUIREMENTS

### Knowledge management

We confirm that an approach to Knowledge Management and Learning has been clearly described in the Project Description (Section B)

Yes

## ANNEX A: FINANCING TABLES

### GEF Financing Table

Indicative Trust Fund Resources Requested by Agency(ies), Country(ies), Focal Area and the Programming of Funds

| GEF Agency              | Trust Fund | Country/ Regional/ Global | Focal Area          | Programming of Funds | Grant / Non-Grant | GEF Project Grant(\$) | Agency Fee(\$) | Total GEF Financing(\$) |
|-------------------------|------------|---------------------------|---------------------|----------------------|-------------------|-----------------------|----------------|-------------------------|
| UNEP                    | GET        | Zimbabwe                  | Chemicals and Waste | Mercury              | Grant             | 5,000,000             | 475,000        | 5,475,000.00            |
| Total GEF Resources(\$) |            |                           |                     |                      |                   | 5,000,000.00          | 475,000.00     | 5,475,000.00            |

### Project Preparation Grant (PPG)

Is Project Preparation Grant requested? true

PPG Amount (\$)

150,000

PPG Agency Fee (\$)

14,250

| GEF Agency       | Trust Fund | Country/ Regional/ Global | Focal Area          | Programming of Funds | Grant / Non-Grant | PPG(\$)    | Agency Fee(\$) | Total PPG Funding(\$) |
|------------------|------------|---------------------------|---------------------|----------------------|-------------------|------------|----------------|-----------------------|
| UNEP             | GET        | Zimbabwe                  | Chemicals and Waste | Mercury              | Grant             | 150,000    | 14,250         | 164,250.00            |
| Total PPG Amount |            |                           |                     |                      |                   | 150,000.00 | 14,250.00      | 164,250.00            |

Indicative Focal Area Elements

| Programming Directions  | Trust Fund | GEF Project Financing(\$) | Co-financing(\$) |
|-------------------------|------------|---------------------------|------------------|
| CW-1                    | GET        | 5,000,000.00              | 10,000,000.00    |
| Total Project Cost (\$) |            | 5,000,000.00              | 10,000,000.00    |

Indicative Co-financing

| Sources of Co-financing      | Name of Co-financier   | Type of Co-financing | Investment Mobilized   | Amount(\$)   |
|------------------------------|--|----------------------|------------------------|--------------|
| Recipient Country Government | Ministry of Environment, Climate, Tourism and Hospitality Industry | In-kind              | Recurrent expenditures | 1,500,000.00 |
| Recipient Country Government | Ministry of Mines and Mining Development                           | In-kind              | Recurrent expenditures | 1,500,000.00 |

|                              |  |         |                        |               |
|------------------------------|--|---------|------------------------|---------------|
| Recipient Country Government | Ministry of Health                       | In-kind | Recurrent expenditures | 400,000.00    |
| Civil Society Organization   | IMPACT                                   | In-kind | Recurrent expenditures | 400,000.00    |
| Recipient Country Government | Fidelity Printers and Refiners           | In-kind | Recurrent expenditures | 800,000.00    |
| Civil Society Organization   | Zimbabwean Miners Federation             | In-kind | Recurrent expenditures | 200,000.00    |
| Civil Society Organization   | Zimbabwean Environmental Law Association | In-kind | Recurrent expenditures | 100,000.00    |
| Civil Society Organization   | Zimbabwean Mining Association            | In-kind | Recurrent expenditures | 100,000.00    |
| Private Sector               | International Refiners (TBC)             | In-kind | Recurrent expenditures | 5,000,000.00  |
| Total Co-financing(\$)       |  |         |                        | 10,000,000.00 |

#### Describe how any "Investment Mobilized" was identified


Not Applicable

#### ANNEX B: ENDORSEMENTS

##### GEF Agency(ies) Certification

| GEF Agency Type        | Name                    | Date      | Project Contact Person | Phone            | Email                    |
|------------------------|-------------------------|-----------|------------------------|------------------|--------------------------|
| GEF Agency Coordinator | Victoria Luque Panadero | 9/16/2022 | Ludovic Bernaudat      | +41 79 477 08 33 | victoria.luque@un.org    |
| Project Coordinator    | Ludovic Bernaudat       | 9/16/2022 | Ludovic Bernaudat      | +41 79 477 08 33 | ludovic.bernaudat@un.org |

**Record of Endorsement of GEF Operational Focal Point (s) on Behalf of the Government(s):**

| <b>Name</b>            | <b>Position</b>   | <b>Ministry</b>   | <b>Date</b>   |
|------------------------|---|---|---|
| Tanyaradzwa<br>Mundoga | Deputy Director, Department of Environment and Natural<br>Resources | Ministry of Environment, Climate, Tourism and<br>Hospitality Industry | 9/13/2022  |

**ANNEX C: PROJECT LOCATION**

**Please provide geo-referenced information and map where the project interventions will take place**

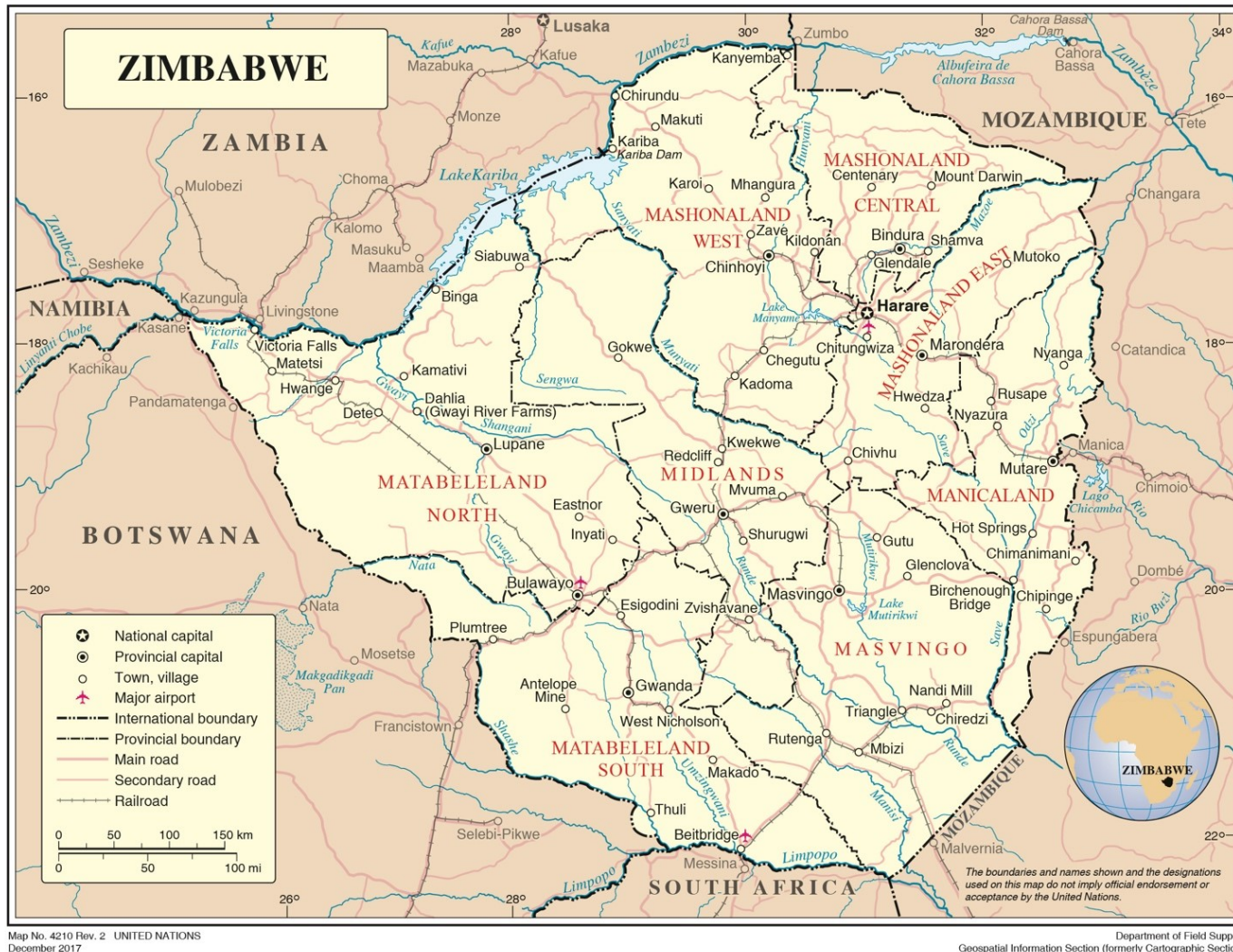


Figure 2: Zimbabwe national map. Source: UN

The project will seek to develop activities at least in the following mining districts:

- Midlands
- Mashonaland West
- Matabeleland South
- Mashonaland Central

During the PPG phase, the Implementing Agency in coordination with the relevant Government bodies and with the support of the Executing Agency, will perform a mapping exercise to identify mining communities in those regions where the project will eventually develop its activities.



After a course of consultations, the identified project sites will be confirmed at the PPG Phase Validation workshop along the rest of project related documents. Subsequently, geocoordinates will be shared with the GEF, the global coordination unit of the planetGOLD programme as well as any other relevant stakeholder which may request this.

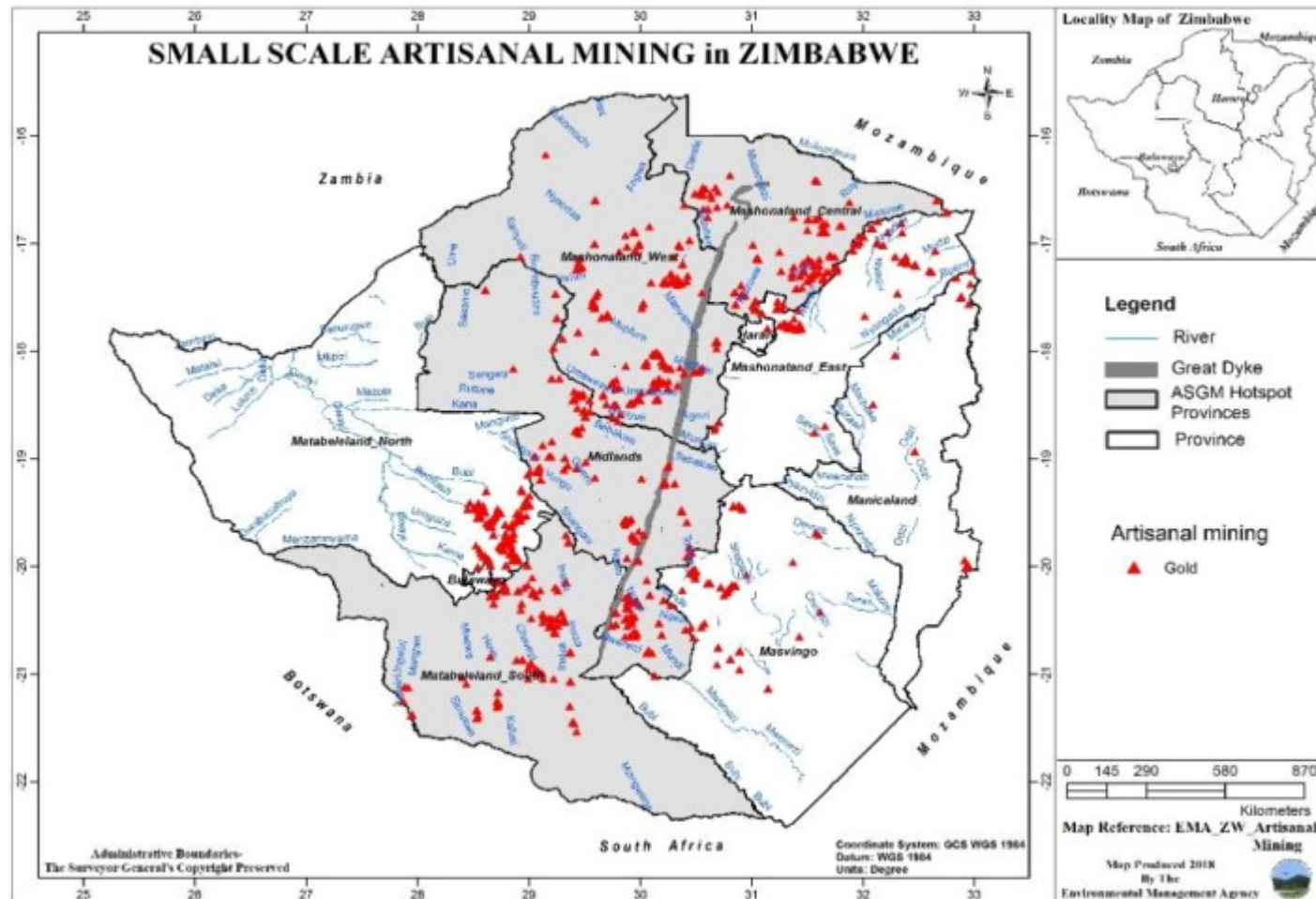


Figure 3: ASM in Zimbabwe. Source: NAP on Mercury, UNEP, 2019.

To identify potential project sites during the PPG phase, the project will employ the most updated geographical information. In this respect, the above map will lay the foundations for ASGM sites identification

#### ANNEX D: ENVIRONMENTAL AND SOCIAL SAFEGUARDS SCREEN AND RATING

(PIF level) Attach agency safeguard screen form including rating of risk types and overall risk rating.

Title

[planetGOLD Zimbabwe - PIF - COVID Screens](#)



[Annex D1 - planetGOLD Zimbabwe - PIF- SRIF](#)



#### ANNEX E: RIO MARKERS

| Climate Change Mitigation | Climate Change Adaptation | Biodiversity      | Land Degradation  |
|---------------------------|---------------------------|-------------------|-------------------|
| No Contribution 0         | No Contribution 0         | No Contribution 0 | No Contribution 0 |

#### ANNEX F: TAXONOMY WORKSHEET

| Level 1            | Level 2  | Level 3  | Level 4 |
|--------------------|--|--|---------|
| Influencing Models | Transform policy and regulatory environments<br>Strengthen institutional capacity and decision-making<br>Convene multi-stakeholder alliances<br>Demonstrate innovative approaches<br>Deeply innovative financial instruments |  |         |
| Stakeholders       | Private Sector<br><br>Beneficiaries<br>Local Communities<br><br>Civil Society  | Capital providers<br>Financial intermediaries and market facilitators<br>Large corporations<br>SMEs<br>Individual/Entrepreneurs<br>Community-based Organization<br>Non-governmental Organization<br>Academia<br>Trade Unions and Workers Unions<br><br>Information Dissemination<br>Partnerships |         |

|                                   |  |   |   |
|-----------------------------------|--|---|---|
|                                   | Type of Engagement   | Partnership<br>Consultation<br>Participation<br><br>Awareness Raising<br>Education<br>Public Campaigns<br>Behaviour Change  |   |
|                                   | Communication  |   |   |
| Capacity, Knowledge, and Research | Capacity Development<br><br>Knowledge Generation and Exchange<br><br>Innovation<br>Knowledge and Learning<br><br>Stakeholder Engagement Plan | Knowledge Management<br>Capacity Development<br>Learning  |   |
| Gender Equality                   | Gender Mainstreaming<br><br>Gender results areas   | Beneficiaries<br>Women groups<br>Sex-disaggregated indicators<br>Gender-sensitive indicators<br>Access and control over natural resources<br>Access to benefits and services<br>Participation and leadership<br>Capacity Development<br>Awareness raising<br>Knowledge generation |   |
| Focal Area/Theme                  | Land Degradation<br>Chemicals and Waste  | Sustainable Land Management<br><br>Mercury<br>Artisanal and Small-Scale Gold Mining<br>Sound Management of Chemicals and Waste<br>Waste Management<br>Best Available Technology/Best Environmental Practices  | Community-Based NRM<br><br>Hazardous Waste Management |

