



## **Development of National Action Plan for the Artisanal and Small Scale Gold Mining in Costa Rica**

### **Part I: Project Information**

**GEF ID**

**Project Type**

EA

**Type of Trust Fund**

GET

**CBIT**

CBIT

**Project Title**

Development of National Action Plan for the Artisanal and Small Scale Gold Mining in Costa Rica

**Countries**

Costa Rica

**Agency(ies)**

UNEP

**Other Executing Partner(s):**

BCRC Uruguay

**Executing Partner Type**

Others

**GEF Focal Area**

Chemicals and Waste

**Taxonomy**

Focal Areas, Chemicals and Waste, Mercury, Artisanal and Scale Gold Mining, Stakeholders, Local Communities, Civil Society, Community Based Organization, Non-Governmental Organization, Academia, Type of Engagement, Consultation, Participation, Information Dissemination, Indigenous Peoples, Communications, Awareness Raising, Public Campaigns, Education, Strategic Communications, Beneficiaries, Gender Equality, Gender Mainstreaming, Sex-disaggregated indicators, Women groups, Gender-sensitive indicators, Gender results areas, Participation and leadership, Knowledge Generation and Exchange, Capacity, Knowledge and Research, Enabling Activities

**Rio Markers****Climate Change Mitigation**

Climate Change Mitigation 0

**Climate Change Adaptation**

Climate Change Adaptation 0

<b>Type of Reports</b>	<b>Submission Date</b>	<b>Expected Implementation Start</b>	<b>Expected Completion Date</b>	<b>Expected Report Submission to Convention</b>
ASGM National Action Plan (ASGM NAP)	10/25/2019	12/1/2019	11/30/2021	11/30/2021

**Duration**

24In Months

**Agency Fee(\$)**

47,500

**A. FOCAL/NON-FOCAL AREA ELEMENTS**

<b>Objectives/Programs</b>	<b>Trust Fund</b>	<b>GEF Amount(\$)</b>	<b>Co-Fin Amount(\$)</b>
CW-EA	GET	500,000	
		<b>Total Project Cost(\$)</b>	<b>500,000</b>
			<b>0</b>

## B. Project description summary

### Project Objective

Assist Costa Rica in the development of its National Action Plan, raise national awareness on the Minamata Convention and build initial national capacity for the early implementation of the National Action Plan

<b>Project Component</b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>GEF Project Financing(\$)</b>	<b>Confirmed Co-Financing(\$)</b>
1. Global Technical Support for National Action Plan development	Costa Rica is enabled to implement its NAP and contribute to the protection of the human health and the environment from the emissions and releases of mercury from the artisanal and small-scale gold mining sector	1.1 Training and guidance provided to relevant national stakeholders in Costa Rica to develop and implement a NAP as per Annex C of the Minamata Convention	50,000	
2. National Action Plan development	Costa Rica is enabled to implement its NAP and contribute to the protection of the human health and the environment from the emissions and releases of mercury from the artisanal and small-scale gold mining sector	2.1 National Action Plan developed as per Annex C of the Minamata Convention	379,546	

<b>Project Component</b>	<b>Expected Outcomes</b>	<b>Expected Outputs</b>	<b>GEF Project Financing(\$)</b>	<b>Confirmed Co-Financing(\$)</b>
3. Monitoring and Evaluation	Costa Rica is enabled to implement its NAP and contribute to the protection of the human health and the environment from the emissions and releases of mercury from the artisanal and small-scale gold mining sector	3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the Global Environment Facility  3.2 Independent terminal review developed and made publicly available	25,000	
<b>Sub Total (\$)</b>			<b>454,546</b>	<b>0</b>
<b>Project Management Cost (PMC)</b>				
			45,454	
<b>Sub Total(\$)</b>			<b>45,454</b>	<b>0</b>
<b>Total Project Cost(\$)</b>			<b>500,000</b>	<b>0</b>

**C. Source of Co-Financing for the Project by Name and by Type**

<b>Sources of Co-financing</b>	<b>Name of Co-financier</b>	<b>Type of Co-financing</b>	<b>Investment Mobilized</b>	<b>Amount(\$)</b>
				<b>Total Co-Financing(\$)</b>

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

n/a

**D. GEF Financing Resources Requested by Agency, Country and Programming of Funds**

<b>Agency</b>	<b>Trust Fund</b>	<b>Country</b>	<b>Focal Area</b>	<b>Programming of Funds</b>	<b>Amount(\$)</b>	<b>Fee(\$)</b>
UNEP	GET	Costa Rica	Chemicals and Waste	Mercury	500,000	47,500
<b>Total Gef Resources(\$)</b>					<b>500,000</b>	<b>47,500</b>

## **Part II. Enabling Activity Justification**

### **A. ENABLING ACTIVITY BACKGROUND AND CONTEXT**

Provide brief information about projects implemented since a country became party to the convention and results achieved

The Minamata Convention on Mercury is a global treaty to protect human health and the environment from the adverse effects of mercury that entered into force in 16 August 2017. The major highlights of the Convention include a ban on new mercury mines, the phase-out of existing ones, control measures on air emissions, and the international regulation of the informal sector for artisanal and small-scale gold mining (ASGM).

The Minamata Convention on Mercury, under Article 13, identifies and describes two entities that will function as the Financial Mechanism to support capacity building and technical assistance:

- ü the Global Environment Facility (GEF) Trust Fund; and
- ü a Specific International Programme to support capacity-building and technical assistance.

The GEF financial support of mercury related activities is included in the GEF VII Chemicals and Waste Focal Area Strategy, which addresses mercury issues under the Program 4: Support enabling activities under the Minamata Convention, including Minamata Initial Assessments (MIAs) and Artisanal and Small-Scale Gold Mining National Action Plan (ASGM NAP).

Costa Rica participated actively in the Intergovernmental Negotiating Committee (INC) negotiations supported by UN Environment. In October 2013, Costa Rica became a signatory of the Minamata Convention.

In 2015, the Costa Rican government finalized the implementation of the Minamata Initial Assessment project, where a special emphasis was given to the ASGM sector. As part of the project, awareness raising workshops on the risks of the use of mercury as well as on alternative technologies for the extraction of gold were held in the main area of the country where artisanal miners are located.

Likewise, a monitoring campaign was developed with the objective of determine the presence of mercury in different medias: air, water and soil. This monitoring was carried out in different areas such as volcanic, urban, landfills, industrial and gold mining. As a result, it was confirmed that the area with the highest concentration of mercury in air was the area with gold extraction activity. This is an outstanding aspect of the ASGM that affects not only the environment but the human health of workers and vulnerable sectors.



In December 2015, Costa Rica notified the Minamata Secretariat, according to article 07 paragraph 3 of the Minamata Convention, that “artisanal and small-scale gold mining and processing in its territory is more than insignificant”. Hence, Costa Rica shall develop and implement a National Action Plan in accordance with Annex C and submit its Plan to the Secretariat no later than August 2020.

In January 2017, Costa Rica ratified the Minamata Convention.

Besides contributing to the implementation of the Minamata Convention, the project also contributes to the achievement of the UN Environment Biennial Programme of Work (PoW) 2018-2019, **expected accomplishment A** “Policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM)”. In fact, as a result of this project Costa Rica will have used UN Environment analysis and guidance, and will have applied a multi-sectoral approach, in developing an Action Plan that promote sound chemicals management and the implementation of a relevant multilateral environmental agreement, the Minamata Convention.

#### **UNDAF Costa Rica (2018-2022)[1]<sup>1</sup>**

The United Nations System in Costa Rica has concluded in the United Nations Development Assistance Framework of 2018-2022 that despite of the economic growth in the country in the last decades, and the sound progress in the promotion of human health and the environment, the current development model adopted by Costa Rica does not allow the country to overcome the existing gaps and reinforce social exclusion and vulnerability.

In order to support Costa Rica in the achievement of the Sustainable Development Goals, the United Nations System in Costa Rica is focusing in three strategic priorities:

- 1) Improved national dialogue: strengthen national institutional capacity to facilitate and build national innovative and transformational agreements aimed at achieving the Sustainable Development Goals through, in particular, increased technical capacity;
- 2) Institutional efficiency: strengthen the national institutional capacity for a more innovative, efficient and effective public management through, in particular, increased technical capacity to generate data and produce knowledge;
- 3) Leave no one behind: strengthen people’s capacity for active participation and demand for the respect of rights with the purpose to accelerate the achievement of the Sustainable Development Goals, in particular for NGOs, social and environmental movements, and organizations with a productive or community base.

This objective is that in five years Costa Rica will have consolidated its transition towards a multidimensional sustainable development model that is: resilient, egalitarian, inclusive, productive and competitive, ensures equal opportunities and is in full compliance with human rights for all, without any type of exclusion or discrimination.

This enabling activity is consistent with these strategic priorities because it is designed to:

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- i) Be developed through national consultation and dialogue (priority 1);
- ii) Be based on data collected about the ASGM sector in Costa Rica, which will allow the country to take informed decisions when implementing strategies to reduce mercury emissions and exposure from this sector (priority 2);
- iii) Provide opportunities for civil society organizations, in particular association of miners, to have their capacity build for more effective participation in the project (priority 3).

The NAP future implementation also has the potential to contribute to the achievement of the following Sustainable Development Goals in Costa Rica:

- ü Sustainable Development Goal (2) ensures healthy lives and promotes well-being for all at all ages. The NAP has strategies to prevent the exposure of vulnerable populations to mercury emissions and releases from the ASGM sector and consequently contributes to reduce the number of deaths and illnesses from hazardous chemicals (target 3.9). Indirectly, the positive impacts over population's health also contributes to the Sustainable Development Goal (1) - end poverty in all its forms everywhere. Many ASGM miners are trapped in a vicious cycle of poverty due, among others, to the burden with the costs associated with the deterioration of the miner's health (target 1.2);
- ü Sustainable Development Goal (8) promote inclusive and sustainable economic growth, employment and decent work for all. The NAP will identify the steps needed to facilitate the formalization of the ASGM sector and will develop strategies to promote the reduction of emissions releases, and exposure to mercury in the ASGM sector. The implementation of these measures will improve the working conditions of miners, in particular through the elimination of worst practices of mercury use in ASGM and a broader access to mercury-free methods (target 8.3, 8.4);
- ü The project will also indirectly contribute to achieve the Sustainable Development Goal (5) achieve gender equality and empower women and girls. This will be done through the collection of sex-disaggregated, the participation of stakeholders from both sexes in the consultations and the inclusion of gender sensitive indicators in the project logical framework. As part of the NAP, strategies to prevent exposure of vulnerable populations, particularly children and women of child-bearing age, especially pregnant women, to mercury use in ASGM will be developed. This strategy will contribute to the development of national sound policies and enforceable legislation for the promotion of gender equality and the empowerment of all women and girls at all levels (target 5c). For more information on the gender dimensions of this project, please refer to this specific session at pages 14 and 15 of this document;
- ü Sustainable Development Goal (6) – ensure availability and sustainable management of water and sanitation for all. The implementation of the NAP will contribute in particular to achieve the target 6.3 improving water quality by reducing the release of hazardous chemicals in the ASGM areas;
- ü Sustainable Development Goal (12) – ensure sustainable consumption and production patterns. The implementation of the NAP will directly contribute to achieve the target 12.4 under this goal that is to 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. The NAP contributes to the environmentally sound management of mercury by facilitating the early implementation of the Minamata Convention.

## **National Background ASGM in Costa Rica**

Artisanal Gold Mining in Costa Rica has gone through different stages for the last one hundred years. There were two mining cycles. The first one was developed in the 19th century and took place in the Montes del Aguate, located in the cantons of Orotina and San Ramón de Alajuela (1) Mining activities were then carried out by national miners with little or no experience. The technology used by these miners allowed them to explore only the most superficial deposits. The second mining cycle was developed by large companies close to the railway system in the twentieth century mainly in the area of Abangares in Guanacaste (2). The third cycle is the current one, whose main focus has been in the Abangares area (3). The large companies abandoned their activities following the continuous decrease in the price of gold in the last decade of the twentieth century.

Two other areas of artisanal activity have also been identified, the first in the area of Miramar, Montes de Oro of Puntarenas, where there is incipient but increasing mining activity; and the second one in the sector of Cutris de San Carlos, Alajuela. The second one is an area that was initially subject of concession for gold extraction but was canceled in a second moment before the mining work started for legal and political reasons. This situation caught the attention of different artisanal miners nationwide, causing the invasion of the area by national and foreign miners searching for gold. It is important to point out that in the area miners are not organized in associations of any kind and their individual work leads to increased insecurity. The mining area is remote, with very difficult access and deprived of basic social services.

Mercury has been used as an amalgam in throughout the three cycles. The system of ground mills has been modified over time. In the nineteenth century a large copper plate covered with mercury was used to form the amalgam. The amalgam was then transferred to an oven for mercury evaporation and its separation from the recovered gold. Currently, before the introduction of mercury the ore is firstly reduced to smaller fragments in ground mills. A retort is used to condense and collect the mercury vapor released from heating gold mercury amalgam.

As for the extraction process, the artisanal miners enter tunnels built in an improvised and rudimentary manner. The possibility of accidents as landslides inside these tunnels is high and is a constant threat to the physical integrity of miners.

The Law 8904: *Reform of the Mining Code and its amendments to the law to declare Costa Rica a country free of open air metallic mining*, establishes the obligation of miners to form cooperatives as a pre-condition to get a concession. However, miners still prefer working individually due to the lack of credibility of existing cooperatives. This leads to increased conflicts between landowners, cooperatives and miners.



*Figure 1: Location gold mining sites in Costa Rica*

[1] [http://www.latinamerica.undp.org/content/dam/rblac/docs/United-Nations-Development-Assistance-Framework/UNDAF\\_CRI.pdf](http://www.latinamerica.undp.org/content/dam/rblac/docs/United-Nations-Development-Assistance-Framework/UNDAF_CRI.pdf)

**B. ENABLING ACTIVITY GOALS, OBJECTIVES, AND ACTIVITIES**

The proposal should briefly justify and describe the project framework. Identify also key stakeholders involved in the project including the private sector, civil society organizations, local and indigenous communities, and their respective roles, as applicable. Describe also how the gender equality and women’s empowerment are considered in project design and implementation

The goal of this project is that Costa Rica takes the first step to reduce, and where feasible eliminate, the use of mercury and mercury compound in, and the emissions and releases to the environment of mercury from gold mining and processing through the development of a NAP in accordance with Annex C of the Minamata Convention.

The project objective is to assist Costa Rica in the development of its NAP, raise national awareness on the Minamata Convention and build initial national capacity for the early implementation of the NAP.

The project framework follows the guidance on the preparation of NAPs by parties addressing the issue of artisanal and small-scale gold mining that is more than insignificant, as agreed at the first meeting of the Conference of the Parties[1]. The guidance has been developed with the intention of addressing ASGM in a holistic manner and includes a review of legal, educational, economic, regulatory and enforcement frameworks, and provides guidance on developing budgets and workplans and identifying potential sources of funding and partners.

**Project Components and Activities:** The NAP development has three components, which consist of the outputs and activities indicated below.

#### ***Component 1: Global Technical Support for NAP Development***

The UN Environment Global Mercury Partnership has successfully supported countries globally on the development of their NAPs. As a result of the previous NAP projects, a roster of international, regional and national experts on NAP development and implementation was developed. The roster lists over 70 experts in eight areas of ASGM expertise: (i) technical aspects of gold recovery, (ii) formalization, (iii) baseline estimates and inventories, (iv) mercury supply and trade, (v) public health, (vi) awareness raising and outreach in ASGM communities, (vii) market mechanisms for the mercury-free gold, and (viii) gender issues/ child labour. The roster contains experts with diverse regional experience, ranging from Latin America, to Africa, Central and East Asia and Southeast Asia, speaking over 20 languages (including English, French, Spanish, Swahili, Portuguese, Arabic).

A key set of tools and methodologies has also been developed in response to country needs as listed below:

- 1) **ASGM Inventory Toolkit** – methodology to collect and analyse the ASGM baseline data;
- 2) **Mobile data collection tool** – to store and manage the collected ASGM data;
- 1) **MapX platform for NAPs** – to map and monitor the collected ASGM data and to facilitate knowledge management and information exchange;
- 2) **Handbook for Developing National ASGM Formalization Strategies** within National Action Plans;
- 3) **Quick Start Guide for managing mercury trade** in Artisanal and Small Scale Gold Mining, to fulfil obligation under Minamata Convention National Action Plan”;
- 4) **Illustrated Guide to mercury free ASGM** – an interactive, online guide that synthesizes and connects existing information on mercury-free practices in the ASGM sect;

5) Other outreach materials.

Experts from different regions were trained on the use of the NAP guidance and were supported on its application. Finally, government representatives were invited to participate in information exchange groups on the national institutional and regulatory framework needed to support the implementation of the Minamata Convention in the ASGM sector.

Through this project Costa Rica will also benefit from the support of the UN Environment Global Mercury Partnership.

Expected Outputs and activities:

1.1 Initial training and guidance provided to relevant stakeholders in Costa Rica to develop and implement a NAP as per Annex C of the Minamata Convention.

*1.1.1 Enhance the existing roster of experts; collection and development of tools and methodologies for NAP development;*

*1.1.2 Quality check of the NAP project products including e.g. national overview of the ASGM sector, draft of the NAP document and the final quality check by an independent consultant;*

*1.1.3 Technical support and capacity building on key elements of the NAP as needed, including e.g. baseline inventories of mercury use in ASGM;*

*1.1.4 Knowledge management and information exchange through the UN Environment Global Mercury Partnership website and or Partners websites and tools;*

*1.1.5 Final regional workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation.*

***Component 2: NAP development***

*Step 1: Establishing a coordinating mechanism and organization of process*

At the national level, the successful development of the NAP will rely on the formation of a National Coordination Mechanism that will guide the NAP development through all its phases and ensure that there is proper project planning and management throughout the process. The National Coordination Mechanism should include members from relevant governmental ministries or departments. The national inception workshop will:

- (i) clearly define the relative roles and responsibilities of the members of the National Coordination Mechanism;
- (ii) agree on the budget allocation and workplan for the project;
- (iii) develop an awareness raising strategy on mercury use in ASGM and its environmental and health impacts to be implemented throughout the whole project;

- (iv) develop a gender strategy to be implemented throughout the project;
- (v) develop a capacity building plan for a more effective participation of key stakeholders in the development of the NAP.

In addition, the National Coordination Mechanism will identify a Stakeholder Advisory Group, composed of stakeholders who possess relevant knowledge and information, and whose collaboration and cooperation will be needed for the successful formulation and implementation of the NAP. The Stakeholder Advisory Group will include relevant members of civil society with experience and knowledge in the ASGM sector. The National Coordination Mechanism will engage with the advisory group at regular intervals and during all phases of the NAP development and direct feedback on the NAP will be provided through a mechanism to be agreed upon by the National Coordination Mechanism in the inception meeting. A list of suggested members of the NAP National Coordination Mechanism and of the stakeholders' advisory group can be found at pages 16-19 to the guidance document.

*Step 2: Developing a national overview of the ASGM sector, including baselines estimates of mercury use and practices developed as part of the mercury inventory activity*

Costa Rica will develop a national overview of the ASGM sectors with information on the following:

- ü Legal and regulatory status of ASGM;
- ü Policies surrounding ASGM at the local, national and levels;
- ü Baseline estimates of mercury emissions and releases from the ASGM sector;
- ü Structure of the ASGM sector (i.e., single family miners, community mines, etc.);
- ü Geographic distribution of ASGM, including potential future areas of exploitation;
- ü Economics, such as earning per capita, mercury supply, use and demand, information on gold trade and export, cost of living, access to finance for miners, social welfare options for miners and their communities;
- ü Size of the formal and informal ASGM economy;
- ü Information on mining practices, including information on ore bodies exploited, processes used, the amount of mercury used, the number of people directly involved in ASGM and indirectly exposed to mercury (disaggregated by gender and age);
- ü Information on the location and demographics of ASGM miners that operate without the use of mercury and the techniques that they use;

- ü Information on gold processing practices/burn off of mercury in gold processing shops or community retorts;
- ü Known information on mercury level of the environmental media (as baseline data), overall environmental impacts, contaminated sites, mercury releases in soil, air and water, including distribution relative to population centres;
- ü Studies and other information on mercury exposure, through various media, and studies on impacts in ASGM communities and downstream communities;
- ü Information about access to technical assistance for miners;
- ü Leadership and organization of ASGM at national and local levels;
- ü Experiences in addressing ASGM;
- ü Information gaps at the local and national scale that can be addressed.

The methodology for this work will be decided by stakeholders in Costa Rica at the national inception workshops but will certainly involve the identification of national consultants with expertise in different areas as legal; public policies; economy; geology and public health. This national expert teams will be supported by the National Coordination Mechanism; Stakeholder Advisory Group and the Global Mercury Partnership.

### Step 3: Setting goals and objectives

Based on the results of the national overview of the ASGM sector, national workshops will be organized with the executing body and the stakeholders' advisory group to agree on:

- ü Final problem statement, goals, objectives and reduction targets;
- ü Implementation strategy with specific activities for each of the NAP elements described in Annex C of the Minamata Convention. The NAP will be linked as often as possible to high level national development goals and initiatives, such as poverty reduction strategies and Sustainable Development Goals-based National Development Plans. The NAP will identify potential negative social impacts of their implementation as livelihoods impairment and will identify alternatives to avoid these negative impacts;
- ü Workplans, outreach plans, timelines and overall budgets for the implementation of the plans and their periodical review;
- ü Identification of roadmaps for NAP endorsement and submission.



## Expected Outputs and activities:

### 2.1. Draft NAP developed as per Annex C of the Minamata Convention

*2.1.1. National Inception workshop to (i) develop ToRs for the National Coordination Mechanism and Stakeholder Advisory Group; (ii) agree on the budget allocation and workplan for the project; and finally (iii) develop an awareness raising strategy on mercury use in ASGM and its environmental and health impacts to be implemented throughout the whole project (iv) develop a gender strategy to be implemented throughout the project; (v) develop a capacity building plan for a more effective participation of key stakeholders in the development of the NAP.*

*2.1.2. Development of the national overview of the ASGM sector according to the NAP guidance;*

*2.1.3. Development of draft NAP;*

*2.1.4. Organize national consultations and trainings to finalize the NAP, raise awareness, build capacity for early implementation and agree on a roadmap for NAP endorsement and submission to the Minamata Secretariat;*

*2.1.5. Submit the endorsed NAP to the Minamata Secretariat.*

### ***Component 3: Monitoring and Evaluation***

Day-to-day project management and monitoring will be the responsibility of the Executing Agency. The project monitoring will start with the inception workshop and the development of a detailed workplan, budget and detailed monitoring and evaluation plan with key stakeholders. The Executing Agency will develop and submit to UN Environment technical and financial reports every quarter describing the progress according to the workplan and budget, identifying obstacles occurred during implementation and the remediation actions to be taken.

UN Environment will monitor the project progress according to the workplan on a regular basis and provide guidance to the Executing Agency to progress according to the workplan. Yearly during the GEF PIR UN Environment will provide information about the status of the project implementation and the disbursements made.

Monthly or weekly calls between the Executing Agency and the Implementing Agency will be agreed upon if the project is not progressing according to the workplan.

The terminal report and final statement of accounts developed by the Executing Agency at the end of the project closes the Executing Agency monitoring activities for this project. The final financial audit will review the use of project funds against budget and assess probity of expenditure and transactions. The final audit is to be developed by an independent audit authority (a recognized firm of public accountants or, for governments, a government auditor). The final audit is to be sent to UN Environment up to six months after the technical completion of the project.

Templates for the quarterly progress and financial report, terminal report and final statement of accounts will be provided by UN Environment. There is no template for the final financial audit.

An independent terminal review (TR) will take place at the end of project implementation, latest 6 months after completion of the project. An independent consultant will be responsible for the TR and liaise with the UNEP Task Manager at the Chemicals Branch of the Economy Division throughout the process. The TR will provide an independent assessment of project performance (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment and executing partners – MINAE in particular. The direct costs of the review will be charged against the project review budget. The TR report will be sent to project stakeholders for comments. Formal comments on the report will be shared by the independent consultant in an open and transparent manner. Project performance will be assessed against standard review criteria using a six-point rating scheme. The final determination of project ratings will be made by the independent consultant when the review report is finalised. The review report will be publically disclosed and will be followed by a recommendation compliance process.

#### Expected outputs and planned activities:

- 3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF.
  - 3.1.1 *EA develops and submit technical and financial reports quarterly to UN Environment using UN Environment's templates;*
  - 3.1.2 *UN Environment communicates project progress to the GEF yearly during the PIR using GEF's template;*
  - 3.1.3 *Develop and submit terminal report and final statement of accounts to UN Environment at project end;*
  - 3.1.4 *Submit final financial audit to UN Environment.*
- 3.2 Independent terminal review developed and made publicly available.
  - 3.2.1 *Independent consultant carries out the terminal review upon the request of the UN Environment Task Manager and make it publicly available in the UN Environment website.*

#### **Project Stakeholders:**

At the international level, the project will include:

- a) **UN Environment Chemicals and Wastes:** UN Environment is the only United Nations organization with a mandate derived from the General Assembly to coordinate the work of the United Nations in the area of environment and whose core business is the environment. UN Environment Chemicals and Wastes is the UN Environment Branch that works specifically to minimize the adverse effects of chemicals and waste on human health and the environment. The implementation of this project contributes directly to reach the main mandate of the Branch;
- b) **UN Environment Regional Office for Latin America and Caribbean:** UN Environment has six regional offices supporting different groups of countries in their efforts towards sustainable development. The UN Environment Regional Office for Latin America and Caribbean will identify opportunities for regional synergies and areas of cooperation. Some examples may include: coordination of regional information exchange and provision of documents and inventories from other countries in the region, identification of regional experts, etc.;
- c) The **Minamata Convention Secretariat** based in Geneva, Switzerland, exert the Secretariat role of the Minamata Convention according to Article 24. The Minamata Convention Secretariat will be regularly informed on the progress in the implementation of the project to be able to identify opportunities to facilitate assistance to Parties in the implementation of the Convention;
- d) The overall goal of the **Global Mercury Partnership** is to protect human health and the global environment from the release of mercury and its compounds by minimizing and, where feasible, ultimately eliminating global, anthropogenic mercury releases to air, water and land. The Partnership works closely with stakeholders to assist in the effective implementation of the Minamata Convention on Mercury. Reducing mercury in Artisanal and Small-scale Gold Mining is one of the eight Partnership areas, and will support the implementation of the project by facilitating the access to resources and experts identified or developed by the Partnership;
- e) The **World Health Organization** (WHO) works to achieve better health for everyone, everywhere. Mercury is among the health topics of WHO and has responded to this health and environmental issue of concern through the development of studies, tools and guidance materials. The Global Mercury Partnership will facilitate the access to these materials and will also inform the World Health Organization on identified needs for additional support;
- f) The **International Labour Organization** (ILO) brings together governments, employers and workers to set labour standards, policies and devise programmes promoting decent work for women and men. ILO has already supported initiatives to reduce child labour and improve working conditions in artisanal and Small-scale gold mining. These social aspects will be taken into account in the NAP development; particularly with the formalization or regulation of the ASGM sector and by developing strategies to prevent exposure of vulnerable populations.

The international partners will provide ongoing support to the project and their engagement will be discussed and agreed upon in the inception meetings.

National stakeholders involved in the NAP National Coordination Mechanism:

*Table 1: Stakeholder Participation in Costa Rica (preliminary list to be strengthened during the national inception workshops)*

Government/Ministries	Responsibility/areas of expertise
Ministry of the Presidency	National coordinator for illegal mining
Ministry of Environment and Energy	<p>National implementation Focal point of the project. In charge of environmental laws, issues, and regulations and assessment of environmental impacts.</p> <p>Department of environmental quality management (DIGECA): Minamata Focal Point.</p> <p>Department of Geology and Mines in charge of policy formulation and implementation, as well as provider of statistics and data on ASGM.</p>
Ministry of Health	Health policy formulation and implementation in relation public health and waste management.
Ministry of Economy, Industry and Trade	<p>The Ministry will contribute in particular with information about the economic importance of ASGM and market-based mechanisms for reducing mercury use.</p> <ul style="list-style-type: none"> <li>ü Mercury trade;</li> <li>ü Market-based mechanisms for reducing mercury use.</li> </ul>
Ministry of Finance	Funding for NAP process
Ministry of Education	Strategies for community outreach and stakeholder involvement.
Ministry of Labour and Social Security	Occupational health counsel
Local government	Local permits and monitoring
Institute for rural development (INDER)	Assistance for local producers

National Banking System for Development	Promote the development of micro and small enterprises of all sectors and entrepreneurs; through financing and business development services
Institute of social assistance (IMAS)	Promote the social development of people, families and communities in situations of poverty or risk and social vulnerability
National institute for education (INA)	Promote and develop the training and professional training of men and women in all sectors of production to promote economic development and contribute to the improvement of living conditions
National Institute for Cooperative Development	Promotion and development of cooperatives
Ministry of public security	Law enforcement.

*Table 2: suggested national stakeholders for the national advisory groups*

<b>ASGM Stakeholder Groups</b>	<b>Contribution to Development of NAP</b>
Miner organizations (e.g., cooperatives and/or associations)	Understand how to organize miners.
Miners/miner representatives	Provide realistic view of current practices and barriers to change.
Community leaders and local government from ASGM areas	Assist with development and implementation of plan within ASGM communities.
Technical expert in gold mining	<ul style="list-style-type: none"> <li>ü Understanding of technical alternatives to mercury use;</li> <li>ü Provide training opportunities.</li> </ul>
Environmental and human health organizations	Represent vested interests in reducing environmental impacts of ASGM and the risks of exposure to the public.
Academic and research organizations, e.g. Colegio de Geólogos	<ul style="list-style-type: none"> <li>ü Provide valuable information and conduct future research;</li> <li>ü Provide training opportunities from ASGM specialists.</li> </ul>

Legal professionals	Understand national legislation as it relates to ASGM including relevant regulation on mercury use and trade regulation.
Other relevant land holders	Represent interest in land conflicts and in reclaiming impacted lands; risk of mercury exposure.
Police and Customs officials	Understand role of enforcement.
Gold buying agents, gold traders, mercury traders	<ul style="list-style-type: none"> <li>ü Provide insight into market dynamics, and barriers to formalization;</li> <li>ü Important focal point for community health and emissions.</li> </ul>
Waste management specialists	Provide insight into available mechanisms to handle mercury wastes generated by ASGM and how to clean/restore contaminated sites.
Private sector partner (e.g., large-scale mining company or equipment provider)	<ul style="list-style-type: none"> <li>ü Technical capacity;</li> <li>ü Potential public/private partnership.</li> </ul>
Financial/banking sector	Small and commercial-sized loans to miners to assist with financing transition towards better practices.
Representatives of the United Nations Country Teams.	Ensure the project is contributing to the country priorities as identified by the National United Nations Development Assistance Frameworks.
OLAMI (Mining Latin American Organization)	Mining advisor

### Gender dimensions

In practice, gender mainstreaming means identifying gaps in gender equality through the use of sex disaggregated data, developing strategies to close those gaps, putting resources and expertise into implementing strategies for gender equality, monitoring and implementation and holding individuals and institutions accountable for results. Gender mainstreaming is not an end in itself; is a process whose ultimate goal is to **achieve gender equality**<sup>[2]</sup> (Sustainable Development Goal 5).

It is already known that in many ASGM areas women perform tasks where toxic exposure occurs since they do not require strength. These jobs include pouring the mercury into the ball-mills or mixing the mercury in panning, and burning the amalgam, often with their children or babies nearby. In some countries, women also carry the rocks from the

mining sites to the processing plants.[3]<sup>3</sup> Moreover, with an estimated 4.5 million women working in artisanal mining, many of childbearing age, low-level exposure to infants during gestation and breast-feeding is a risk.[4]<sup>4</sup> As a potent neurological toxicant that interferes with brain functions and the nervous system, mercury has been shown to be particularly harmful to neurological development of babies and young children.[5]<sup>5</sup>

This project has the opportunity to promote gender equality and women empowerment by:

ü Developing a strategy with SMART indicators aimed at gender mainstreaming throughout the project implementation at the national level. It's recommended that the focal points of the Minamata Convention follow the UN training "Introduction to gender equality" for a better understanding of the topic before working on the strategy. Below some of the elements that could be considered in this strategy:

- (i) Facilitating the equal access to information and training;
- (ii) Encouraging the equal participation in the national coordination mechanisms and other national consultations;
- (iii) Fostering the equal recruitment of consultants to deliver the project outputs;
- (iv) Collecting sex-disaggregated data on vulnerable population;
- (v) Developing tools to facilitate the development of the strategy to prevent the exposure of vulnerable populations, particularly children and women of child-bearing age, especially pregnant women, to mercury used in artisanal and small-scale gold mining.

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[1] Available at: [http://www.mercuryconvention.org/Portals/11/documents/forms%20and%20guidance/English/ASGM\\_guidance\\_e.pdf](http://www.mercuryconvention.org/Portals/11/documents/forms%20and%20guidance/English/ASGM_guidance_e.pdf)

[2]<http://www.undp.org/content/dam/aplaws/publication/en/publications/environment-energy/www-ee-library/chemicals-management/chemicals-management-the-why-and-how-of-mainstreaming-gender/Chemicals%20Management%20and%20Gender%20Mainstreaming.pdf>

[3] <http://www.wecf.eu/english/articles/2013/10/minamata-sideevent.php>

[4] See Telmer and Veiga (2009)

[5] See United States EPA (1997); Bose-O'Reilly et al. (2010)

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### C. DESCRIBE THE ENABLING ACTIVITY AND INSTITUTIONAL FRAMEWORK FOR PROJECT IMPLEMENTATION

Discuss the work intended to be undertaken and the output expected from each activity as outlined in Table A

For project activities, please section B

**Implementing Agency (IA):** this project will be implemented by UN Environment and executed by MINAE with the support of the Basel Convention Coordinating Centre-Stockholm Convention Regional Centre for Latin America and the Caribbean Region. As Implementing Agency, UN Environment will be responsible for the overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including on technical issues.

**Basel Convention Coordinating Centre-Stockholm Convention Regional Centre for Latin America and the Caribbean Region (BCCC-SCRC) (EA):** The Uruguay center will co-execute and manage the project. The center will support the day to day activities of the project, in coordination with MINAE, who will host the national project coordinator. The center will also be responsible for the recruitment of consultants and facilitate audits of the project. All financial transactions will be carried out in accordance with UN Environment procedures and the center will provide regular administrative, progress and financial reports to the UN Environment.

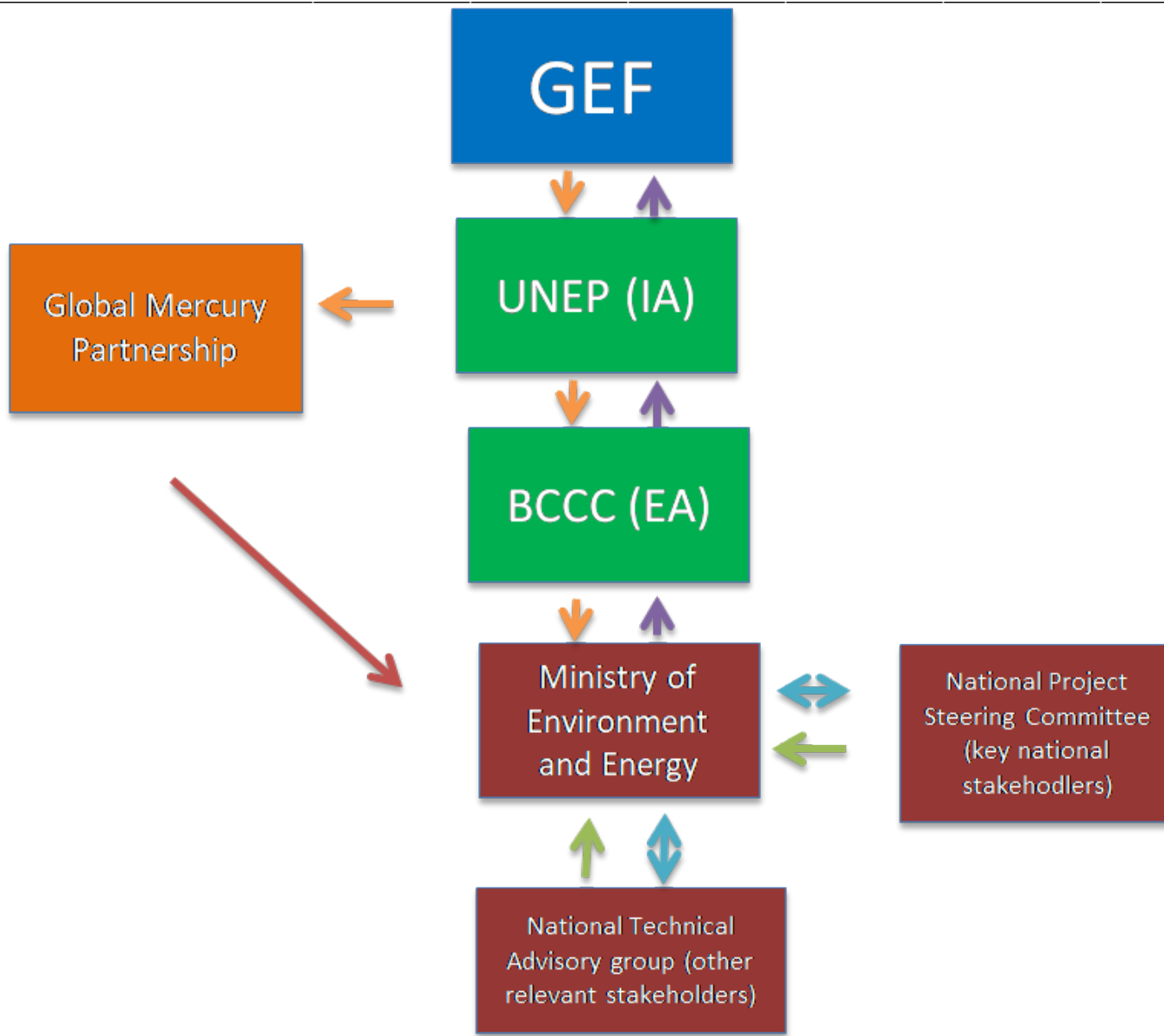
**Ministry of Environment and Energy (MINAE) (EA):** The Ministry of Environment and Energy will co-execute the project, with the management support of the Uruguay center. MINAE will host a national coordinator and will supervise the work of national consultants. MINAE will ensure the internal coordination between the involved departments (e.g. Mining, Environmental Quality, ...), and will lead the coordination with other national institutions and stakeholders, through the relevant national coordination mechanisms.

**National Coordination Mechanism (NCM)** will meet regularly during project implementation. The Committee will include key National Stakeholders and will evaluate the progress of the project and will take the necessary measures to guarantee the fulfillment of its goals and objectives. The NCM will take decisions on the project in line with the project objectives and these decisions will be implemented by the EA.

**Stakeholder Advisory Group (SAG):** This group will include relevant stakeholders who possess relevant knowledge and information, and whose collaboration and cooperation will be needed for the successful formulation and future implementation of the NAP. The NCM will engage with the advisory group at regular intervals and during all phases of the NAP development and direct feedback on these documents will be provided through a mechanism to be agreed upon by the NCM.

**Global Mercury Partnership (GMP):** the partnership works closely with stakeholders to assist in the timely ratification and effective implementation of the Minamata Convention. Reducing Mercury in ASGM is one of the partnership areas and it has supported countries in its efforts to reduce mercury uses and releases in the ASGM sector; eliminate the worst practices in ASGM and explore innovative market-based approaches to enable the transition away from mercury. The partnership will ensure Costa Rica has access to all the expertise and experience of its members to implement the project.





Legenda	
	Funds
	Reports
	Guidance
	Communication
	Capacity building/Technical support

*Figure 2: Implementation arrangements*

#### **D. DESCRIBE, IF POSSIBLE, THE EXPECTED COST-EFFECTIVENESS OF THE PROJECT**

With the GEF support, patterns of mercury consumption and release from the ASGM sector will be assessed to facilitate the development of the NAP. The subsequent implementation of this NAP (not part of this project), will allow provide global and local benefits through reduced emissions to the environment. Through institutional capacity development and enhancement at the national level, potential contamination risks from the use of mercury in ASGM will also be minimized.

Per the GEF guidelines, the NAP project is within the recommended budget of \$500,000. To ensure cost effectiveness, infrastructure and human resources available within the national stakeholders and the executing agency will be wisely utilized. Most project activities will be carried out by national experts. This will foster an increase in local and national capacity to manage mercury and will contribute to the cost effectiveness of the project through reduced consultancy fees and travel expenses. UN Environment has extensive experience with NAP projects with 24 of the 32 active projects under our implementation, considerable cost-efficiency will be achieved through this experience and sharing of knowledge with the other projects in the portfolio.

#### **E. DESCRIBE, DESCRIBE THE BUDGETED M & E PLAN**

More detailed information about project monitoring and evaluation can be consulted in the project component 3 monitoring and evaluation.

*Table 3. Monitoring and Evaluation Budget*

M&E activity	Purpose	Responsible Party	Budget (US\$)*1	Time-frame
National inception and training workshops	Awareness raising, building stakeholder engagement, detailed work planning with key groups at the national level	MINAE		Within one month after the regional inception workshop
National inception reports	Provides implementation plan for progress monitoring at the national level	Uruguay Center	0	Within two weeks following national inception workshop
Project Supervision and Monitoring	Technical and Administrative support provided on a regular basis ensuring that the project is being carried out according to the agreed work plan and budget	UN Environment	0	Regularly
Technical Progress reports	Describes progress against annual work plan for the reporting period and provides activities planned for the next period	Uruguay Center	0	Quarterly by 30 April covering January to March;
Financial Progress Reports	Documents project expenditure according to established project budget and allocations	Uruguay Center	0	by 31 July covering April to June; by 31 October covering July to September; by 31 January covering October to December
Terminal report	Reviews effectiveness against implementation plan; Highlights technical outputs; Identifies lessons learned and likely design approaches for future projects, assess the likelihood of achieving design outcomes.	Uruguay Center	0	Within one month of the project technical completion
Independent Financial Audit	Reviews use of project funds against budget and assesses probity of expenditure and transactions	Independent auditor recruited by the Uruguay Center	10,000	Within 3 months of the project technical completion

Terminal evaluation	<p>Single report that reviews effectiveness, efficiency and timeliness of project implementation, coordination mechanisms and outputs;</p> <p>Identifies lessons learnt and likely remedial actions for future projects;</p> <p>Highlights technical achievements and assesses against prevailing benchmarks.</p>	Independent consultant recruited by UN Environment	15,000	Within six months of the project technical completion
Total indicative M&E cost*1			25,000	

**F. EXPLAIN THE DEVIATIONS FROM TYPICAL COST RANGES (WHERE APPLICABLE)**

n/a

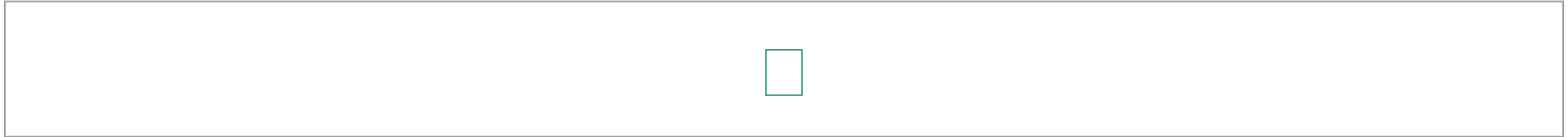
**Part III: Approval/Endorsement By GEF Operational Focal Point(S) And Gef Agency(ies)**

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

<b>Focal Point Name</b>	<b>Focal Point Title</b>	<b>Ministry</b>	<b>Signed Date</b>
Ms. Enid Chaverri-Tapia	Director of International Cooperation	Ministry of Environment and Energy of Costa Rica	4/12/2019

**B. Convention Participation**

<b>Convention</b>	<b>Date of Ratification/Accession</b>	<b>National Focal Point</b>
Minamata Convention	1/19/2017	Shirley Soto Montero



Submitted to GEF Secretariat Review

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