

# GEF-8 REQUEST FOR Chemicals and Waste enabling activity

Proposal for Funding Under the GET  
Processing Type: Expedite

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## SECTION 1: ENABLING ACTIVITY SUMMARY

Enabling Activity Title	
Development of a National Action Plan for the Artisanal and Small-scale Gold Mining (ASGM) Sector in the Philippines	
Country(ies)	GEF Enabling Activity ID
Philippines	11825
GEF Agency(ies):	GEF Agency Enabling Activity ID
UNEP	
Submission Date	Expected Implementation Start
10/22/2024	1/1/2025
Project Executing Entity(s):	Executing Partner Type
Artisanal Gold Council (AGC)	CSO
GEF Focal Area (s)	Expected Duration (In Months)
Chemicals and Waste	24
Type of Report(s)	Expected Report Submission to Convention
ASGM National Action Plan (ASGM NAP)	7/1/2027

## A. Funding Elements

GEF-8 Program	Trust Fund	GEF Financing (\$)
CW-EA	GET	500,000.00
<b>Total Enabling Activity Cost</b>		<b>500,000.00</b>

Does the enabling activity deviate from typical cost ranges? ☐ Yes ☒ No

If yes, please describe

## B. Enabling Activity Summary

### Enabling Activity Objective

To assist the Government of the Philippines in the development of its National Action Plan for the Artisanal and Small-scale Gold Mining (ASGM) sector, raise awareness on the Minamata Convention, and to build al national capacity for the early implementation of the National Action Plan and the Minamata Convention.

### Enabling Activity Summary

Component 1 – Global Technical Support for NAP Development

Output 1.1: Training and guidance provided to relevant stakeholders in the Philippines to develop and implement a NAP as per Annex C of the Minamata Convention.

Activities:

- 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.
- 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 UNEP Global Mercury Partnership website and or Partners websites and tools.
- 1.1.5: NAP data extraction, analysis and visualization to draw lessons learned and recommendations.

Component 2 – National Action Plan development

Output 2.1: National Action Plan developed as per Annex C of the Minamata Convention.

Activities:

- 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 including gender considerations and a thorough review of the plans and programs of the government for the sector, through multipartite consultations (including gender-related expertise), where strategies and plans for the NAP development can be drawn from.
- 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 (special attention will be paid to the participation of women and gender expert(s) across consultations and trainings).
- 2.1.5: Submit the endorsed NAP to the Minamata Secretariat.

Component 3: Monitoring and Evaluation

Output 3.1: Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF.

Activities:

- 3.1.1: The EA develops and submits technical and financial reports quarterly to UNEP using UNEP's templates.
- 3.1.2: UNEP communicates project progress to GEF yearly during the PIR using GEF's template.

3.1.3: Develop and submit final report and financial statement of accounts to UN Environment at project end.

3.1.4: The EA submits final financial audit reports to UNEP.

Output 3.2: Independent operational completion report developed and made publicly available.

Activities:

3.2.1: Independent consultant carries out the operational completion report upon the request of the UNEP Task Manager and makes it publicly available on the UNEP website.

## ENABLING ACTIVITY COMPONENTS

### Component 1 – Global Technical Support for NAP Development

GEF Enabling Activity Financing (\$): 50,000.00

Outcome:

The Philippines is enabled to develop and 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

Output:

1.1: Training and guidance provided to relevant national stakeholders in the Philippines to develop and implement a NAP as per Annex C of the Minamata Convention

### Component 2: National Action Plan development

GEF Enabling Activity Financing (\$): 390,000.00

Outcome:

The Philippines is enabled to develop and 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

Output:

2.1: National Action Plan developed as per Annex C of the Minamata Convention

### M&E

GEF Enabling Activity Financing (\$): 15,000.00

Outcome:

The project achieves results on time through effective monitoring and evaluation

Output:

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 operational completion report developed and made publicly available.

## Component Balances

Project Components	GEF Enabling Activity Financing (\$)
Component 1 – Global Technical Support for NAP Development	50,000.00
Component 2: National Action Plan development	390,000.00
M&E	15,000.00
<b>Subtotal</b>	<b>455,000.00</b>
Project Management Cost	45,000.00
<b>Total Enabling Activity Cost</b>	<b>500,000.00</b>

Please provide justification

## SECTION 2: ENABLING ACTIVITY SUPPORTING INFORMATION

### C. Eligibility Criteria

Please provide eligibility information for this enabling activity.

The Minamata Convention on Mercury is a multilateral environmental agreement whose objective is to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds. The Philippines signed the Convention on 10 October 2013 and ratified it on 8 July 2020.

The Philippines prepared its Minamata Initial Assessment (MIA) (GEF ID 5863) which allowed for the identification of the main mercury sources, including artisanal and small-scale gold mining (ASGM). 500,000 individuals and their families rely on ASGM in more than 40 different provinces as a primary and secondary livelihood. The sector contributes to approximately 25 metric tons of gold produced per year although it is likely underrepresented due to informality and smuggling.

The socioeconomic conditions in rural ASGM communities present a complex set of development challenges closely linked to health, environmental, and governance concerns. Unsustainable practices have grave repercussions to both health and the environment and require a coordinated implementation of policies, strategies and approaches to support professionalization and formalization of the sector.

On 9 June 2016, the Philippines notified the Minamata Secretariat that ‘‘artisanal and small-scale gold mining and processing in its territory is more than insignificant’’ and hence, must develop a National Action Plan (NAP) on ASGM according to Annex C of the Convention as part of its obligations under Article 7.

The National Action Plan (NAP) will build on (1) national development plans and programmes of the Philippines for the small-scale mining sector, (2) the results of the project ‘‘Improving the health and environment of artisanal gold miners by reducing mercury emissions’’ (GEF ID 5216) and (3) the planet GOLD Philippines project (GEF ID 9695) as well as other non-GEF initiatives related to the ASGM sector.

### D. Institutional Framework

Describe the institutional arrangements for implementation of the enabling activity.

**Implementing Agency (IA):** This project will be implemented by UNEP Chemicals and Waste - GEF Unit (Chemicals and Health Branch, Industry and Economy Division). As Implementing Agency, UNEP 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.

**Executing Agency (EA):** The MGB-DENR will adopt a third-party modality in executing the project, where it will engage a qualified external organization to assist in the implementation and management of the project activities. The DENR-MGB will maintain overall responsibility and oversight for the project, but it will work in partnership with the Artisanal Gold Council (AGC). The Artisanal Gold Council (AGC) will establish the necessary managerial and technical teams (gender balanced) to execute the project, and it will also be responsible for the selection and hiring of any required consultants for technical activities and other support staff of the MGB, as may be required. **A dedicated gender expert will be recruited to ensure gender is mainstreamed in the project and its main outcome, the National Action Plan on ASGM.** While the third-party



organization will ensure the acquisition of equipment, both parties will monitor the project's progress. To ensure transparency and accountability, independent audits will be organized to guarantee the proper use of GEF funds. Financial transactions, audits and reports will adhere to national regulations and UN Environment procedures. Regular administrative, progress and financial reports will be provided to UNEP.

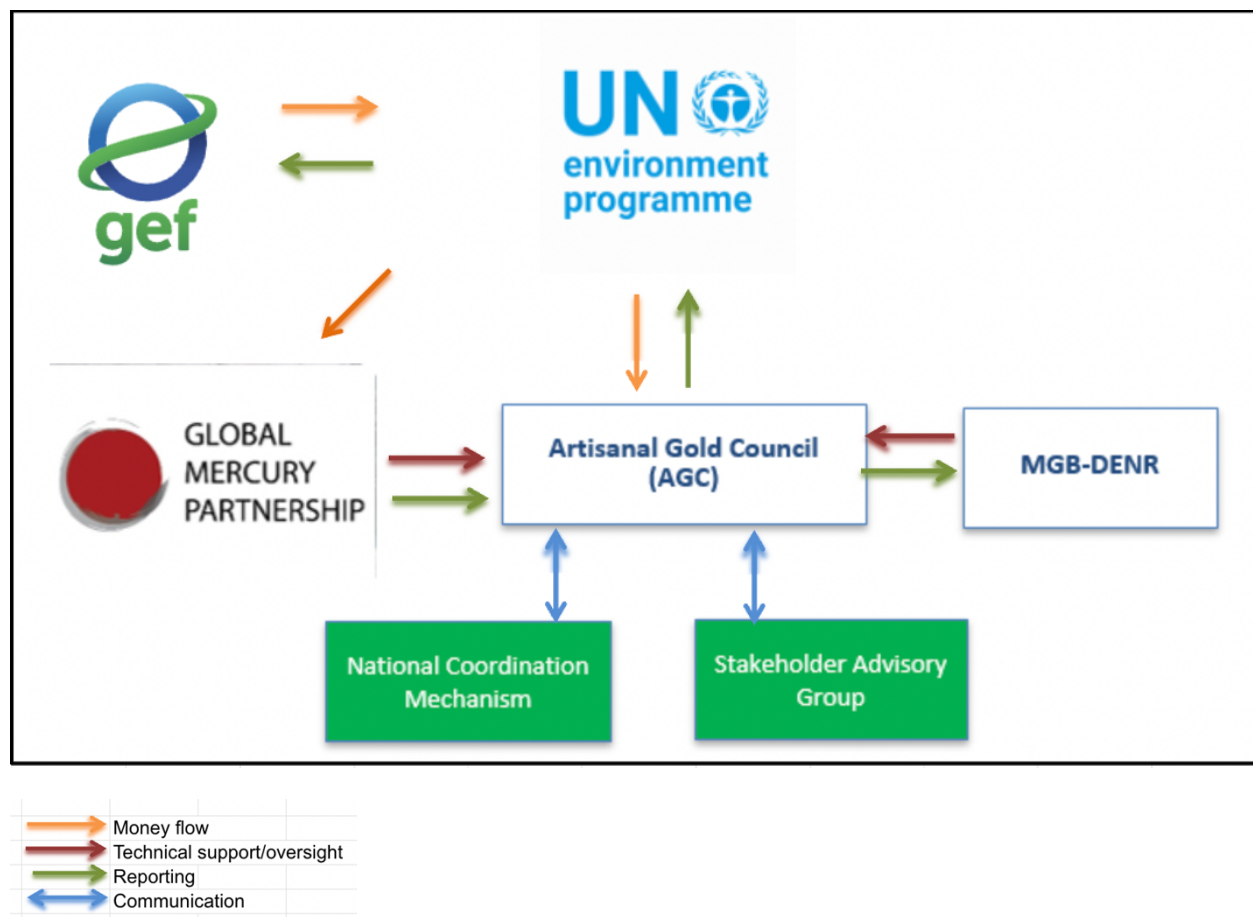
**National Coordination Mechanism (NCM):** will meet regularly during project implementation. The Committee will have gender-balanced composition and include key national stakeholders and will evaluate the progress of the project and will take the necessary measures to guarantee the fulfillment of its goals and objectives. **Gender expert(s) will be included in the national coordination mechanism.** The NCM will take decisions on the project in line with the project objectives and these decisions will be implemented by MGB-DENR.

**Stakeholder Advisory Group (SAG):** This group will include relevant stakeholders who possess significant knowledge and information, and whose collaboration and cooperation will be needed for the successful formulation and future implementation of the NAP. Particular attention will be paid to women organizations and/or interest groups. The NCM will engage with the stakeholder 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. In the Philippines, a National Working Group on the Minamata Convention on Mercury is already operational and could continue to operate under the project as the SAG.

Key stakeholders include the relevant governmental entities (Environment, Mining, Finance, Public Health, Law Enforcement); community leaders and local government from ASGM areas; miner representatives; gold processors; technical experts; environmental and human health organizations; academic and research institutes; representatives from large scale mining; police and custom officials; financial/banking sector; development organizations; and women's interest groups. A detailed list of stakeholders will be elaborated at inception and means of engagement and frequency will be defined. Their participation will be monitored throughout implementation.

**Global Mercury Partnership (GMP):** Hosted by UNEP, 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 the Philippines has access to all the expertise and experience of its members to implement the project.

Figure 1: Implementation arrangements



## E. Monitoring and Evaluation Plan

Describe the budgeted M&E plan.

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 monitoring and evaluation plan with key stakeholders. A gender strategy will be developed by a gender expert during inception to be implemented and monitored throughout the project. Key stakeholders will follow training on Gender Dimensions in ASGM before working on the strategy. Furthermore, a national focal point will be identified in the Project Steering Committee (PSC) to follow up on the implementation of the gender strategy and its main results. As such, gender specific results will be monitored and reported on as part of the M&E plan.

The Executing Agency will develop and submit to UNEP 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.

UNEP 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, UNEP will provide information about the status of the project implementation and the disbursements made.

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

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

An Operational Completion Report (OCR) will be developed at the end of project implementation, at the latest 6 months after completion of the project. An independent consultant will be responsible for the OCR and liaise with the UNEP Task Manager at the GEF Chemicals and Waste Unit in the Economy and Industry Division throughout the process. The OCR will provide an independent assessment of project performance 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 partner – MGB-DENR in particular. The direct costs of the review will be charged against the project review budget. The OCR 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 the achievement of outcomes and delivery of outputs. The final determination of project ratings will be made by the independent consultant when the operational completion report is finalized. The report will be publicly disclosed and will be followed by a recommendation compliance process.

### SECTION 3: INFORMATION TABLES

#### F. GEF Financing Resources Requested by Agency, Country and Programming of Funds

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Programming of Funds	GEF Enabling Activity Financing (\$)	Agency Fee (\$)	Total (\$)
UNEP	GET	Philippines	Chemicals and Waste	Mercury	500,000.00	47,500.00	547,500.00
Total GEF Resources					500,000.00	47,500.00	547,500.00

#### Sources of Funds for Country Star Allocation

GEF Agency	Trust Fund	Country/ Regional/ Global	Focal Area	Sources of Funds	Total(\$)
Total GEF Resources					0.00

#### G. Rio Markers

Climate Change Mitigation	Climate Change Adaptation	Biodiversity	Desertification
No Contribution 0	No Contribution 0	No Contribution 0	No Contribution 0

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

Please attach the *Operational Focal Point endorsement letter(s)* with this template.

Name	Position	Ministry	Date (MM/DD/YYYY)
Ms Analiza Rebuelta-Teh	Undersecretary for Finance, Information Systems and Climate Change	Department of Environment and Natural Resources	7/5/2024

### ANNEX A: RESPONSES TO STAKEHOLDER COMMENTS

Describe how the enabling activity has addressed comments from stakeholders, including Council Members, Convention Secretariats, and STAP (if applicable).

### ANNEX B: PROJECT BUDGET TABLE

Attach the project budget table.

BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY	ALLOCATION PER CALENDAR YEAR
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	Component 1	Component 2	Component 3						
	Global Technical Support for National Action Plan development	National Action Plan development	Monitoring and Evaluation	Project Management	Total	Responsible Entity	Year 1	Year 2	Total
	Output 1.1	Output 2.1	Output 3.1 and 3.2						
UNEP BUDGET LINE/OBJECT OF EXPENDITURE	US\$	US\$	US\$	US\$	US\$		US\$	US\$	US\$
<b>Project Personnel</b>									
Project coordinator				20,000	20,000	AGC	17,000	17,500	34,500
Project assistant				14,500	14,500	AGC	7,250	7,250	14,500
<b>Sub-Total</b>	0	0	0	34,500	34,500		17,000	17,500	34,500
<b>Consultants w/m</b>									
Int'l consultant for inventory training and development or review	0	30,000			30,000	AGC	15,000	15,000	30,000
National consultants for national activities		261,000			261,000	AGC	124,250	124,250	248,500
Expert on NAP development and validation	50,000				50,000	UNEP	25,000	25,000	50,000
<b>Sub-Total</b>	50,000	291,000	0	0	341,000		139,250	164,250	328,500
<b>Administrative Support</b>									
Project Financial Officer					0				0
<b>Travel on official business (above staff)</b>									
Travel Project coordinator/project staff		15,000			15,000	AGC	7,500	7,500	15,000
<b>Sub-Total</b>	0	15,000	0	0	15,000		7,500	7,500	15,000
<b>Component Total</b>	50,000	306,000	0	34,500	390,500		163,750	189,250	378,000
<b>Sub contracts (UN Organizations)</b>									
UN Sub-contract					0				0
<b>Sub-total</b>	0	0	0	0	0		0	0	0
<b>Component Total</b>	0	0	0	0	0		0	0	0
<b>Group training (field trips, WS, etc.)</b>									
Training on inventory development for the ASGM sector (incl. Provision of materials)		35,000			35,000	AGC	35,000		35,000
<b>Sub-Total</b>	0	35,000	0	0	35,000		35,000	0	35,000
<b>Meetings/conferences</b>									
National project inception workshop		15,000			15,000	AGC	15,000		15,000
Final national lessons learned workshop					0				0
National Coordination Mechanisms meetings		8,000			8,000	AGC	4,000	4,000	8,000

Sub-Total	0	23,000	0	0	23,000		19,000	4,000	23,000
<b>Component Total</b>	<b>0</b>	<b>58,000</b>	<b>0</b>	<b>0</b>	<b>58,000</b>		<b>54,000</b>	<b>4,000</b>	<b>58,000</b>
<b>Expendable equipment (under 1,500 \$)</b>									
Operational costs				5,000	5,000	AGC	2,500	2,500	5,000
Sub-Total	0	0	0	5,000	5,000		2,500	2,500	5,000
<b>Non expendable equipment</b>									
Computer, fax, photocopier, projector		2,000			2,000	AGC	1,000	1,000	2,000
Software		2,000			2,000	AGC	1,000	1,000	2,000
Sub-Total	0	4,000	0	0	4,000		2,000	2,000	4,000
<b>Component Total</b>	<b>0</b>	<b>4,000</b>	<b>0</b>	<b>5,000</b>	<b>9,000</b>		<b>4,500</b>	<b>4,500</b>	<b>9,000</b>
<b>Reporting costs (publications, maps, NL)</b>									
Summary reports, visualization and diffusion of results		15,000			15,000	AGC	7,500	7,500	15,000
Preparation of final report		7,000			7,000	AGC		7,000	7,000
Sub-Total	0	22,000	0	0	22,000		7,500	14,500	22,000
<b>Sundry (communications, postages)</b>									
Communications (postage, bank transfers, etc)				2,500	2,500	AGC	1,000	1,500	2,500
Sub-total	0	0	0	2,500	2,500		1,000	1,500	2,500
<b>Evaluation</b>									
Independent Operational Completion Report			15,000		15,000	UNEP		15,000	15,000
Independent Financial Audit				3,000	3,000	AGC		3,000	3,000
Sub-Total	0	0	15,000	3,000	18,000		0	18,000	18,000
<b>Component Total</b>	<b>0</b>	<b>22,000</b>	<b>15,000</b>	<b>5,500</b>	<b>42,500</b>		<b>8,500</b>	<b>34,000</b>	<b>42,500</b>
<b>TOTAL</b>	<b>50,000</b>	<b>390,000</b>	<b>15,000</b>	<b>45,000</b>	<b>500,000</b>		<b>230,750</b>	<b>231,750</b>	<b>487,500</b>

## ANNEX C: ENVIRONMENTAL AND SOCIAL SAFEGUARDS

Attached any screening documents or other ESS related documents (if applicable). ESS screening is not required for EAs but should be included if its available.

☐ Check this box is ESS screening is not required per Agency's regulations

Title

NAP Philippines - Safeguard Risk Identification Form (SRIF)